



**700 AUDITING FILES.** This series covers records created or maintained by the OIG in performing auditing duties and responsibilities to prevent and reduce waste and fraud and to improve agency management

**701 Internal OIG Audit Files.** Reports of audits and surveys that pertain to the operation of a mission or function within the OIG

- a. Recordkeeping copy (paper): DESTROY when 2 years old *Disposition Pending*
- b. Electronic mail and word processing system copies.

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced. *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. *Disposition Pending*

**\*702 Indexes to Audit Project Files. RESCINDED.** See File No 750 or 751 for indexes of Audit Project Files. (N1-330-90-4, N9-509-00-01)

**703 Case Control System Files. RESCINDED.** These records never existed and are not required in Audit. (N1-330-88-4, N9-509-00-01)

**705 Inquiries and Reports Files. RESCINDED.** If files that are internally generated (required by OIG from DoD Agencies or the Military Services) they were incorporated into File No. 700 If they were files that were externally generated by OIG as required by GAO, Congress, OMB or other Government agencies they were incorporated into File No. 750 or 751. (N1-330-90-4, N9-509-00-01)

**705-10 Congressional Inquiries Files. RESCINDED** If inquiries and responses were of a routine nature, they were incorporated into File No 363-10, 700, or 750 If they were of a substantive nature having historical value, they were incorporated into File No. 363-20 or 751. (N1-330-88-4, N9-509-00-01)

**710 AUDIT POLICY AND PROGRAM PROCEDURES FILES.** Records defining and documenting the policies required for directing, controlling, and carrying out OIG audit operations. These files include directives, regulations, guidelines and other policy documents that address audit policy and procedures, such as audit and audit-related directives and the Internal Audit Manual. Also included are supporting documentation such as comments on new or revised policies and legislation that participated the new or revised policies.

a. Recordkeeping copy (paper) excluding the supporting documentation PERMANENT. Cut off when superseded or obsolete. Transfer to National Archives in 5-year blocks when most recent record is 5 years old. (N1-330-88-4) *Disposition Pending*

b. Other copies, supporting documentation, work papers and background material (paper). DESTROY when no longer needed (N1-330-88-4) *Disposition Pending*

c. Electronic mail and word processing system copies

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced (N9-509-00-01) *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) *Disposition Pending*

**715 Audit Planning Files.** Records on planning annual audit schedules and procedures pertaining to the selected audits, such as the annual audit plan or related documents.

a. Recordkeeping copy (paper): PERMANENT. Cut off when superseded or obsolete. Transfer to National Archives in 5-year blocks when most recent record is 5 years old. (N1-330-88-4) *Disposition Pending*

b. Other copies, work papers and background material (paper): DESTROY when no longer needed. (N1-330-88-4) *Disposition Pending*

c. Electronic mail and word processing system copies.

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(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) *Disposition Pending*

**720 ROUTINE AUDIT OVERSIGHT PROJECT FILES.** Documents created by the DoD, IG, that monitor and evaluate DoD and other Federal Agencies internal and contract audits, internal reviews, and the audit principles, policies and procedures, as well as, documents created by the DoD,IG which monitor and evaluate DoD external audits and external audit principles, policies and procedures.

a. Recordkeeping copy (paper) DESTROY 3 years after final management decision of the final audit oversight report unless management classifies those files as "Permanent Audit Oversight Project Files," which would fall under File No. 721a. (N1-330-88-4) *Disposition Pending*

b. Electronic mail and word processing system copies

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced (N9-509-00-01) *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy DELETE when dissemination, revision, or updating is complete (N9-509-00-01) *Disposition Pending*

**721 PERMANENT AUDIT OVERSIGHT PROJECT FILES.** Documents created by the DoD, IG, that monitor and evaluate DoD and other Federal Agencies internal and contract audits, internal reviews, and the audit principles, policies and procedures, as well as, documents created by the DoD,IG which monitor and evaluate DoD external audits and external audit principles, policies and procedures that: (1) establish a precedent and result in a major policy or procedural change; (2) are involved in extensive litigation; (3) receive widespread news media attention; (4) are widely recognized for their uniqueness by specialists or authorities outside the Government; or (5) are reviewed at length in the Agency's annual report to Congress

a. Recordkeeping copy (paper) PERMANENT: Cut off when final report is issued Transfer to National Archives in 5-year blocks when most recent record is 3 years old *Disposition Pending*

b. Electronic mail and word processing system copies

(1) Copies that have no further administrative value after the recordkeeping copy is made Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy DELETE within 180 days after the recordkeeping copy has been produced *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy DELETE when dissemination, revision, or updating is complete. *Disposition Pending*

**730 AUDIT FOLLOW-UP CASE FILES. RESCINDED.** Incorporated into File No. 735 below. (N1-330-88-4, N9-509-00-01)

**735 GAO/OIG Audit Follow-up Case Files.** Documents that record the mediation of disputes regarding recommendations in DoD, IG audit reports and followup on management corrective action on recommendations in both DoD, IG and GAO reports.

a. Recordkeeping copy (paper). Maintain closed Audit Follow-up Case Files in the office of record and review periodically to select those that should be transferred to the WNRC DESTROY transferred cases 20 years after case closure. (N1-330-88-4) *Disposition Pending*

b. Electronic mail and word processing system copies

(1) Copies that have no further administrative value after the recordkeeping copy is made Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy DELETE within 180 days after the recordkeeping copy has been produced (N9-509-00-01) *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) *Disposition Pending*

**740 CONTRACT AUDIT CASE FILES. RESCINDED.** Incorporated into File No 750 or 751 below. (N1-330-88-4, N9-509-00-01)

**750 ROUTINE AUDIT PROJECT FILES.** Documents created or maintained by the DoD,IG, pertaining to unclassified or classified audits of programs, operations, policies and procedures and special request audits of external departmental activities and operations. Audit files include such documents as: fact sheets for proposed audits and evaluations, requests/decision memorandums, survey and audit completion debriefs, official audit project files, pre-audit planning material, internal and external audit correspondence, audit working papers, scheduling and management support documents, electronic mail messages, electronic administrative recordkeeping files, internal and external quality control certification statements and peer review reports, draft and final audit reports, and management comments on draft and final reports Also included are related indexes

a Recordkeeping copy.

(1) Paper DESTROY 2 years after final management decision of the final audit report unless audit management classifies those files as "Permanent Audit Project Files," which would fall under File Nr. 751a(1) (N1-330-90-4) *Disposition Pending*

(2) Electronic data and related records. (Includes master file of electronic data, source documents/data and output documents/data ) DESTROY 2 years after the final report is issued in accordance with 36 CFR 1228 270 and 36 CFR 1234. *Disposition Pending*

b Electronic mail and word processing system copies.

(1) Copies that have no further administrative value after the recordkeeping copy is made Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy DELETE within 180 days after the recordkeeping copy has been produced (N9-509-00-01) *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete (N9-509-00-01) ***Disposition Pending***

**751 PERMANENT AUDIT PROJECT FILES.** Documents created or maintained by the DoD,IG pertaining to unclassified or classified audits of programs, operations, policies, procedures and special request audits that. (1) establish a precedent and result in a major policy or procedural change; (2) are involved in extensive litigation; (3) receive widespread news media attention; (4) are widely recognized for uniqueness by specialists or authorities outside the Government; or (5) are reviewed at length in the Agency's annual report to the Congress. Also included are related indexes.

a. Recordkeeping copy

(1) Paper: PERMANENT. Cut off when final report is issued. Transfer, with related indexes, to National Archives 25 years after report is issued or when records are declassified, whichever is later. ***Disposition Pending***

(2) Electronic data and related records (Includes master file of electronic data, source documents/data and output documents/data ) PERMANENT. Transfer to National Archives, with technical documentation, 2 years after the final report is issued in accordance with 36 CFR 1228.270 and 36 CFR 1234 ***Disposition Pending***

b. Electronic mail and word processing system copies:

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced. ***Disposition Pending***

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. ***Disposition Pending***

**Below is a conversion table of  
Current File Numbers  
to  
Proposed File Numbers.**

<b><u>Current File Number</u></b>	<b><u>Proposed File Number</u></b>
<b>702</b>	<b>750 &amp; 751</b>
<b>703</b>	<b>Not Converted (RESCINDED)</b>
<b>705</b>	<b>700, 750 &amp; 751</b>
<b>705-10</b>	<b>363-10, 700, 750 &amp; 751</b>
<b>720</b>	<b>720 or 721</b>
<b>730</b>	<b>735</b>
<b>740</b>	<b>750 or 751</b>
<b>750</b>	<b>750 or 751</b>

**700 AUDITING FILES.** This series covers records created or maintained by the OIG in performing auditing duties and responsibilities to prevent and reduce waste and fraud and to improve agency management

**701 Internal OIG Audit Files.** Reports of audits and surveys that pertain to the operation of a mission or function within the OIG.

- a. Recordkeeping copy (paper). DESTROY when 2 years old. *Disposition Pending*
- b. Electronic mail and word processing system copies

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(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. *Disposition Pending*

**\*702 Indexes to Audit Project Files. RESCINDED.** See File No 750 or 751 for indexes of Audit Project Files

**703 Case Control System Files. RESCINDED.** These records never existed and are not required in Audit.

**705 Inquiries and Reports Files. RESCINDED.** If files that are internally generated (required by OIG from DoD Agencies or the Military Services) they were incorporated into File No 700a. If they were files that were externally generated by OIG as required by GAO, Congress, OMB or other Government agencies they were incorporated into File No 750 or 751

**705-10 Congressional Inquiries Files. RESCINDED.** If inquiries and responses were of a routine nature, they were incorporated into File No. 363-10a, 700a, or 750a. If they were of a substantive nature having historical value, they were incorporated into File No 363-20a or 751a.

**710 AUDIT POLICY AND PROGRAM PROCEDURES FILES.** Records defining and documenting the policies required for directing, controlling, and carrying out OIG audit operations. These files include directives, regulations, guidelines and other policy documents that address audit policy and procedures, such as audit and audit-related directives and the Internal Audit Manual. Also included are supporting documentation such as comments on new or revised policies and legislation that participated the new or revised policies

a. Recordkeeping copy (paper) excluding the supporting documentation PERMANENT: Cut off when superseded or obsolete. Transfer to National Archives in 5-year blocks when most recent record is 5 years old. **Disposition Pending**

b. Other copies, supporting documentation, work papers and background material (paper). DESTROY when no longer needed **Disposition Pending**

c. Electronic mail and word processing system copies.

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced **Disposition Pending**

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy DELETE when dissemination, revision, or updating is complete **Disposition Pending**

**715 Audit Planning Files.** Records on planning annual audit schedules and procedures pertaining to the selected audits, such as the annual audit plan or related documents

a. Recordkeeping copy (paper) PERMANENT: Cut off when superseded or obsolete. Transfer to National Archives in 5-year blocks when most recent record is 5 years old **Disposition Pending**

b. Other copies, work papers and background material (paper): DESTROY when no longer needed. **Disposition Pending**

c. Electronic mail and word processing system copies.

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(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy DELETE when dissemination, revision, or updating is complete. **Disposition Pending**

**720 ROUTINE AUDIT OVERSIGHT PROJECT FILES.** Documents created by the DoD, IG, that monitor and evaluate DoD and other Federal Agencies internal and contract audits, internal reviews, and the audit principles, policies and procedures, as well as, documents created by the DoD,IG which monitor and evaluate DoD external audits and external audit principles, policies and procedures

a. Recordkeeping copy (paper): DESTROY 3 years after final management decision of the final audit oversight report unless management classifies those files as "Permanent Audit Oversight Project Files," which would fall under item 721 below ***Disposition Pending***

b Electronic mail and word processing system copies

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy DELETE within 180 days after the recordkeeping copy has been produced ***Disposition Pending***

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a. Recordkeeping copy (paper): PERMANENT. Cut off when final report is issued Transfer to National Archives in 5-year blocks when most recent record is 3 years old ***Disposition Pending***

b Electronic mail and word processing system copies:

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**730 AUDIT FOLLOW-UP CASE FILES. RESCINDED.** Incorporated into File No. 735 below

**735 GAO/OIG Audit Follow-up Case Files.** Documents that record the mediation of disputes regarding recommendations in DoD, IG audit reports and followup on management corrective action on recommendations in both DoD, IG and GAO reports

a. Recordkeeping copy (paper): Maintain closed Audit Follow-up Case Files in the office of record and review periodically to select those that should be transferred to the WNRC. DESTROY transferred cases 20 years after case closure. **Disposition Pending**

b. Electronic mail and word processing system copies:

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(b) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. **Disposition Pending**

**740 CONTRACT AUDIT CASE FILES. RESCINDED.** Incorporated into File No. 750 or 751 below.

**750 ROUTINE AUDIT PROJECT FILES.** Documents created or maintained by the DoD, IG pertaining to unclassified or classified audits of programs, operations, policies and procedures and special request audits of external departmental activities and operations. Audit files include such documents as: fact sheets for proposed audits and evaluations, requests/decision memorandums, survey and audit completion debriefs, official audit project files, pre-audit planning material, internal and external audit correspondence, audit working papers, scheduling and management support documents, electronic mail messages, electronic administrative recordkeeping files, internal and external quality control certification statements and peer review reports, draft and final audit reports, and management comments on draft and final reports. Also included are related indexes.

a. Recordkeeping copy (paper) DESTROY 2 years after final management decision of the final audit report unless audit management classifies those files as "Permanent Audit Project Files," which would fall under item 751 below. **Disposition Pending**

Electronic mail and word processing system copies.

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a. Recordkeeping copy

(1) Paper PERMANENT. Cut off when final report is issued. Transfer, with related indexes, to National Archives in 5-year blocks when most recent record is 2 years old. ***Disposition Pending***

(2) Electronic data and related records. (Includes master file of electronic data, source documents/data and output documents/data.) PERMANENT. Transfer to National Archives, with technical documentation, 2 years after the final report is issued. ***Disposition Pending***

b. Electronic mail and word processing system copies:

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced. ***Disposition Pending***

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. ***Disposition Pending***

**700 AUDITING FILES.** This series covers records created or maintained by the OIG in performing auditing duties and responsibilities to prevent and reduce waste and fraud and to improve agency management

a. **Auditing Correspondence Files – General.** Correspondence relating to auditing that cannot logically be filed with detailed records listed below or is received for information only and on which no action is required

(1) Recordkeeping copy (paper): DESTROY when 2 years old. ***Disposition Pending***

(2) Electronic mail and word processing system copies.

(a) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced. ***Disposition Pending***

(b) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. ***Disposition Pending***

**701 Internal OIG Audit Files.** Reports of audits and surveys that pertain to the operation of a mission or function within the OIG.

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**\*702 Indexes to Audit Project Files. RESCINDED.** See File No 750 or 751 for indexes of Audit Project Files. ***Disposition Pending***

**703 Case Control System Files. RESCINDED.** These records never existed and are not required in Audit ***Disposition Pending***

See 7/28/2000 Replacement Page

~~**705 Inquiries and Reports Files. RESCINDED.** If files that are internally generated (required by OIG from DoD Agencies or the Military Services) they were incorporated into File No. 700a. If they were files that were externally generated by OIG as required by GAO, Congress, OMB or other Government agencies they were incorporated into File No. 750 or 751. *Disposition Pending*~~

~~**705-10 Congressional Inquiries Files. RESCINDED** If inquiries were routine responses they were incorporated into File No. 363. If inquiries were those of congressional or public interest pertaining to substantial policy issues the files were incorporated into File No. 700a, 750 or 751. *Disposition Pending*~~

~~**710 AUDIT POLICY AND PROGRAM PROCEDURES FILES.** Records defining and documenting the policies required for directing, controlling, and carrying out OIG audit operations. These files include directives, regulations, guidelines and other policy documents that address audit policy and procedures, and documentation supporting the establishment or revision to the policy documents.~~

~~a Recordkeeping copy (paper): PERMANENT: Cut off when superseded or obsolete. Transfer to National Archives in no less than 5-year blocks when most recent record is 5 years old. *Disposition Pending*~~

~~b. Other copies, work papers and background material (paper): DESTROY when no longer needed. *Disposition Pending*~~

~~c. Electronic mail and word processing system copies:~~

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a. Recordkeeping copy (paper): PERMANENT: Transfer to National Archives 3 years after the final audit oversight report is decided **Disposition Pending**

b. Electronic mail and word processing system copies:

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network

See 7/28/2000 Replacement Page

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**730 AUDIT FOLLOW-UP CASE FILES. RESCINDED.** Incorporated into File No. 735 below. *Disposition Pending*

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a. Recordkeeping copy (paper): Maintain closed Audit Follow-up Case Files in the office of record and review periodically to select those that should be transferred to the WNRC. DESTROY transferred cases 20 years after case closure. *Disposition Pending*

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(b) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. *Disposition Pending*

**740 CONTRACT AUDIT CASE FILES. RESCINDED.** Incorporated into File No. 750 or 751 below. *Disposition Pending*

**750 ROUTINE AUDIT PROJECT FILES.** Documents created or maintained by the DoD,IG, pertaining to unclassified or classified audits of programs, operations, policies and procedures and special request audits of external departmental activities and operations. Audit files include such documents as: fact sheets for proposed audits and evaluations, requests/decision memorandums, survey and audit completion debriefs, official audit project files, pre-audit planning material, internal and external audit correspondence, audit working papers, scheduling and management support documents, electronic mail messages, electronic administrative recordkeeping files, internal and external quality control certification statements and peer review reports, draft and final audit reports, and management comments on draft and final reports.

a. Recordkeeping copy (paper): DESTROY 2 years after final management decision of the final audit report unless audit management classifies those files as "Permanent Audit Project Files," which would fall under item 751 below. *Disposition Pending*

See 7/28/2000 Replacement Page

b. Electronic mail and word processing system copies.

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced. **Disposition Pending**

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. **Disposition Pending**

**751 PERMANENT AUDIT PROJECT FILES.** Documents created or maintained by the DoD,IG pertaining to unclassified or classified audits of programs, operations, policies, procedures and special request audits that: (1) establish a precedent and result in a major policy or procedural change; (2) are involved in extensive litigation; (3) receive widespread news media attention; (4) are widely recognized for uniqueness by specialists or authorities outside the Government; (5) are reviewed at length in the Agency's annual report to the Congress; or (6) are selected to document agency procedures rather than capture information on the subject of the individual file.

a. Recordkeeping copy (paper): PERMANENT. Transfer to National Archives 2 years after the final audit report is decided. **Disposition Pending**

b. Electronic mail and word processing system copies:

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced. **Disposition Pending**

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. **Disposition Pending**

See 7/28/2000 Replacement Page

**RECOMMENDATION TO THE ARCHIVIST ON RECORDS  
DISPOSITION REQUEST**

Job No. N1-509-00-7  
Item Count: 28

**SUMMARY** The DOD Inspector General requests approval of a revised schedule covering Auditing Files (700s) Under **FN 701a**, DOD-IG proposes the recordkeeping copy of its Internal OIG Audit Files for disposal when 2 years old Excluded are records relating to the agency's DOD-wide audit function (see FNs 750 and 751) Under **FN 710**, Audit Policy and Program Procedures Files, DOD-IG has expanded the description of this series It has also made it clear that the recordkeeping copy (**FN 710a**) excludes the supporting documentation that is to fall under FN 710b This job clarifies the series description for the permanent records under FN 710a and proposes an earlier transfer date **FN 710b** has an expanded description but prescribes the previously approved retention period Under **FN 715**, Audit Planning Files, DOD-IG expands the series description and modifies the disposition instructions of the permanent recordkeeping copy (**FN 715a**) to provide for earlier transfer to the National Archives **FN 715b** covers records, such as work papers, previously approved for disposal Under **FNs 720a and 721a**, DOD-IG proposes to break out into temporary and permanent categories the recordkeeping copy of the currently permanent Audit Oversight Project Files The intent is to schedule for disposal the routine project files while preserving those that are truly permanent So this proposal is a natural refinement of the original DOD-IG records schedule The descriptions of proposed FNs 720 and 721 are identical except for the five criteria used for the selection of permanent project files under FN 721 Under **FN 735**, GAO/OIG Audit Followup Case Files, DOD-IG proposes to combine in one series what is currently two series FN 730, [OIG] Audit Followup Case Files, and FN 735, GAO Report Followup Case Files Although in the 1980s a NARA appraisal archivist believed that "arbitrations which establish a precedent" warranted permanent retention, all these files turned out to document administrative followup matters Anything of archival value is included in the recordkeeping copy of proposed FN 751a, Permanent Audit Project Files So DOD-IG proposes that the recordkeeping copy (**FN 735a**) be approved for destruction 20 years after case closure Under **FNs 750a and 751a**, DOD-IG proposes to break out into temporary and permanent categories the recordkeeping copy of Audit Project Files now disposable under FN 750 except for a note that calls, in effect, for an SF 115 to cover any cases meeting specified criteria **FN 750a(1) and a(2)** cover the paper and electronic recordkeeping copies of the Routine Audit Project Files These routine files are proposed for disposal 2 years after final action instead of the currently approved 8 years **FN 751a(1) and a(2)** cover the paper and electronic recordkeeping copies of the proposed Permanent Audit Project Files These are files that audit management classifies as audits meeting one or more specified selection criteria Under these two items, DOD-IG proposes the permanent retention of the paper and the electronic versions of the recordkeeping copy Under **FNs 701b, 710c, 715c, 721b, 735b, 750b, and 751b**, the agency proposes for disposal related electronic copies created using electronic mail and word processing These electronic copies do not add substantial value to the recordkeeping copy and therefore warrant disposal

This job produced no controversy inside or outside NARA Three stakeholder units waived informal review while two others concurred in the appraisal report after informal review In response to a Federal Register notice, no copies of the job were requested, and no comments were received The retention periods proposed in this job are adequate for agency business needs and archival purposes and for Government accountability and the protection of legal rights I recommend approval of this job

**RECOMMENDATION**

- 1 **APPROVED FOR DISPOSAL** The records described under all items of the schedule, except those that may be listed in blocks 2, 3, and 4 of this section, are disposable because they do not, or will not after the lapse of the period specified, have sufficient administrative, legal, research or other value to warrant their continued preservation by the Government
- 2 **APPROVED FOR PERMANENT RETENTION** The records described under the following item or items have been appraised by the National Archives and Records Administration (NARA) and are determined to have sufficient historical or other value to warrant their continued preservation by the United States Government The agency will transfer these records to the National Archives as specified FNs 710a, 715a, 721a, 751a(1), and 751a(2)
- 3 **DISPOSITION NOT APPROVED** The records described under the following item or items are not approved for disposition
- 4 **WITHDRAWN** The records described under the following item or items have been withdrawn at the request of the agency and/or NARA

**FEDERAL REGISTER NOTICE**

Not required.  Required — Publication Date July 25, 2001  
Copies Requested None  
Comments Received None

SIGNATURES	TITLE	SIGNATURE	DATE
APPRAISAL	Appraiser	<i>Richard A. Alice</i>	9-11-2001
	NWML	<i>[Signature]</i>	9/12/01
	NWM	<i>[Signature]</i>	9/14/01
CONCURRENCES	NR	<i>Gregory A. Perrele</i>	9/17/01
	NW	<i>Michael J. Knief</i>	9-17-01



*National Archives and Records  
Administration*

8601 Adelphi Road  
College Park, Maryland 20740-6001

Date June 13, 2001

Reply to  
Attn of Thomas E Brown, NWME

Subject N1-509-00-07

To : NWML

Thank you for sending for review the appraisal of the records in the Series 700 with the auditing records in the Department of Defense Inspector General Office (DOD-IG). The only permanent electronic records are item 751a(2), electronic data associated with permanent audit case files. We are pleased that this schedule and your appraisal recognized that permanent audit case files may include data bases needed to understand the conclusion of the audit and may provide valuable information about persons, places or things that were subject of the audit. We also agree with your criteria for audits that may produce permanent case files. We are also pleased that description specifies that indexes to the materials to voluminous case files are included, and the wording in 751a(2) is sufficient to render such indexes in electronic form as permanent. In sum, we share your conclusion that the electronic data associated with permanent audit case files is permanent.

For electronic mail and word processing applications associated with permanent records, reference concerns do not require retention of electronic mail and word processing copies of these records in addition to those in the record keeping system. For those electronic mail and word processing associated with temporary record keeping systems, we concur that the electronic nature of these records does not enhance the evidential or informational values of their recordkeeping counterparts to warrant permanent preservation.

THOMAS E. BROWN  
Manager, Archival Services  
Electronic and Special Media Records Services Division

Concurrence

Michael R. Carlson  
Director  
Electronic and Special Media Records Services Division

6/15/2001  
Date

**From:** David Weber  
**To:** rwire  
**Date:** 6/12/01 5 36PM  
**Subject:** N1-509-00-7

Richard I concur with this job after the revisions, and after reviewing the appraisal report

David Weber

**From:** Richard Wire  
**To:** Graham-Hall, Retta  
**Date:** 6/11/01 7 51AM  
**Subject:** N1-509-00-7 (Auditing) going forward

Retta,

We have decided to send pending disposition job N1-509-00-7 and my 6/7 appraisal memo forward to two NARA units for their informal review. Before NARA's formal review/approval, you and I can deal with any issues affecting this job that may result from information uncovered during an examination of the allegations that have been raised.

Per my discussion this morning with my supervisor, we will be sending you a letter asking for a report in response to these allegations of unauthorized destruction of records.

Thank you

Dick

From: Richard Wire  
To: Graham-Hall, Retta  
Date: 6/7/01 4 22PM  
Subject: Allegations of unauthorized destruction of DOD-IG records

Retta,

It has come to my attention that on 6/6/01 the Washington Times published an article on allegations of unauthorized destruction of DOD-IG records, along with allegations of related fraud. The allegations relate to your agency's Auditing program. In this connection, please review 36 CFR 1228.100 through 1228.106. As soon as I return to the office next week (I am off work tomorrow), I will discuss these allegations with my supervisor, and it will be decided whether a letter will be sent to you on this matter.

I was about to forward an appraisal memo on N1-509-00-7, Auditing Files, (dated today) to two NARA units for informal review. A few hours ago Wanda Hopkins of the Auditing office had answered the one remaining question that needed to be resolved at this point (i.e., concerning the conversion table related to items in that job). However, in light of these allegations, I will need to delay further action on this disposition job until at least next week.

Attached is a copy of the article containing the allegations.

Thank you

Dick

Richard A. Wire  
NARA/NWML  
301-713-7110 x260 voice  
301-713-6852 fax  
richard.wire@nara.gov

CC: Caucci, Joseph, Elter, Susan, Hopkins, Wanda, Nashorn, Jerome

**CC:** Caucci, Joseph, Elter, Susan, Hopkins, Wanda, Nashorn, Jerome



# National Archives and Records Administration

8601 Adelphi Road  
College Park, Maryland 20740-6001

June 7, 2001

Memo to the Director, Life Cycle Management Division (NWML)

Subject: N1-509-00-7

## Introduction

In this job the Department of Defense's Inspector General (DOD-IG) Office requests approval of a revised schedule covering Auditing Files (700s). These records accumulate in the Office of the Assistant Inspector General for Auditing. This office performs the primary internal audit functions of the DOD-IG within the Office of the Secretary of Defense, Joint Chiefs of Staff, the Unified and Specified Commands, Military Departments, and the Defense agencies. It also advises the DOD Inspector General on policy direction and performance of DOD audit activities. Finally it oversees non-Federal auditors engaged in audits of DOD grants and contracts. These DOD-IG audits involve

- Matters of special interest to the Secretary of Defense and the DOD Inspector General.
- Allegations of fraud, waste, and mismanagement.
- DOD Hotline complaints
- Alleged violations of law, rule, or regulations.
- Alleged abuse of authority or danger to public health and safety.
- Economy and efficiency in DOD operations, contracts, and programs
- Financial audits.
- Cooperative projects with other DOD and governmental audit, inspection, and investigative organizations.

Further information about the Auditing program appears on the DOD-IG web site at <http://www.dodig.osd.mil/audit/index.html>

The purpose of this proposed schedule is to reflect more accurately the way records are created and maintained in the Auditing program. It is a revision of schedules approved a decade or more ago in Disposition Job Nos. N1-330-88-4 and N1-330-90-4, along with the schedule for electronic copies approved in N9-509-00-1. This pending job excludes the Auditing Correspondence Files (FN 700a), whose recordkeeping copy and electronic copies were scheduled recently in Disposition Job No. N1-509-00-6, along with similar previously unscheduled correspondence series appearing in other chapters of the DOD-IG records manual. So the pending job covers only those items in the 700s that are being revised or, in a few instances, scheduled for the first time. In addition, it indicates those items that are being rescinded, generally because the records are covered elsewhere.

## Internal OIG Audit Files

Under FN 701a, DOD-IG proposes the recordkeeping copy of its Internal OIG Audit Files for disposal when 2 years old. These files represent only internal audits and do not include records relating to the DOD-IG's DOD-wide audit function, which are covered by FN 750 and FN 751 of this job. At first the DOD-IG records officer believed that GRS 23, item 1 applied to these FN 701a records, but it was determined that this GRS authority was not intended to cover such records. The records covered by FN 701a clearly lack archival value. The 2-year retention period proposed by DOD-IG appears adequate to meet its business needs, and the records

are not needed to protect legal rights or ensure Government accountability. Other files, such as the Accountable Officer's Files (FN 450), provide for financial accountability.

Under FNs 701b(1) and b(2)), the agency proposes for disposal related electronic copies created using electronic mail and word processing. These electronic copies do not add substantial value to the recordkeeping copy and should be approved for disposal.

#### **Rescinded File Numbers**

It should be noted that rescinded FNs include 702, 703, 705, and 705-10, along with FNs 730 and 740 appearing later in this pending job. With the exception of FN 703, these records are filed elsewhere as indicated in the pending job. The Case Control System Files covered by FN 703 reportedly never existed. This item was included in N1-330-88-4 when the records of the DOD-IG were first appraised, probably under the assumption that such records would be created.

#### **Audit Policy and Program Procedures Files**

Under FN 710, Audit Policy and Program Procedures Files, DOD-IG has revised and expanded the description of this series. It has also made it clear that the recordkeeping copy (FN 710a) excludes the supporting documentation that has now been added to the description of FN 710b. The recordkeeping copy was previously appraised for permanent retention in N1-330-88-4, and this job reaffirms that final disposition with a clarified series description and an earlier transfer date. An example of this permanent series is the Internal Audit Manual, the current version of which appears on the DOD-IG web site. These records are arranged by functional operational area, and they accumulate at 1 cu ft per year. FN 710b has an expanded description but prescribes the same retention period approved in N1-330-88-4. The electronic copies (FN 710c) do not add substantial value to the recordkeeping copy; hence we should reaffirm their disposability first approved in Disposition Job No. N9-509-00-1.

#### **Audit Planning Files**

Under FN 715, Audit Planning Files, DOD-IG proposes to expand the description of the series and modify the disposition instructions of the recordkeeping copy (FN 715a) to provide for its earlier transfer to the National Archives. The recordkeeping copy was previously appraised for permanent retention in N1-330-88-4, and this job reaffirms that final disposition with an expanded series description. (Note: An example of this permanent series is the Audit and Evaluation Plan, the current version of which is available on the DOD-IG web site.) These records are arranged by functional operational area, and they accumulate at 1 cu ft per year. FN 715b prescribes the same retention period approved in N1-330-88-4. The electronic copies (FN 715c) do not add substantial value to the recordkeeping copy, hence we should reaffirm their disposability first approved in Disposition Job No. N9-509-00-1.

#### **Audit Oversight Project Files**

Under FNs 720a and 721a, DOD-IG proposes to break out into temporary and permanent categories the recordkeeping copy of the Audit Oversight Project Files. The intent is to schedule for disposal the routine project files while preserving those project files likely to be useful for purposes of archival research. Shortly after DOD-IG became a separate DOD entity, all of what then were called Audit Oversight Case Files were approved for permanent retention per Disposition Job No. N1-330-88-4 as FN 720. So the proposal is a natural refinement of the original schedule. The descriptions of proposed FNs 720 and 721 are identical except for the five criteria used for the selection of permanent project files under FN 721. These selection criteria would make permanent the files of those projects that "(1) establish a precedent and result in a major policy or procedural change, (2) are involved in extensive litigation, (3) receive widespread news media

attention; (4) are widely recognized for their uniqueness by specialists or authorities outside the Government, or (5) are reviewed at length in the Agency's annual report to Congress” The volume for FN 721a averages 2 cu ft per year, and the arrangement is by fiscal year and thereunder by project file number. The electronic copies (FNs 720b and 721b) do not add substantial value to the recordkeeping copies under FNs 720a and 721a, hence we should reaffirm their disposability first approved in Disposition Job No N9-509-00-1

### **GAO/OIG Audit Followup Case Files**

Under FN 735, GAO/OIG Audit Followup Case Files, DOD-IG proposes to combine in one series what is currently two series FN 730, [OIG] Audit Followup Case Files, and FN 735, GAO Report Followup Case Files. Early in DOD-IG's existence during the 1980s, the NARA appraisal archivist believed that “arbitrations which establish a precedent” warranted permanent retention (now designated as FN 730a(1) and FN 735a(1) in the DOD-IG records manual) Instead these files turned out to document administrative followup matters. Anything of archival significance would be included in the recordkeeping copy of proposed FN 751a, Permanent Audit Project Files. In short, the agency proposes that the recordkeeping copy (FN 735a) be approved for destruction 20 years after case closure This 20-year retention period has been, in effect, the retention period for these records because no case files were ever identified as precedent-setting and thus permanent. The electronic copies (FN 735b) do not add substantial value to the recordkeeping copy under FN 735a; hence we should reaffirm their disposability first approved in Disposition Job No N9-509-00-1

### **Audit Project Files**

Under FNs 750a and 751a, DOD-IG proposes to break into a temporary and a permanent series the recordkeeping copy of Audit Project Files now approved for disposal under FN 750 except for a note that stated. “Some audit case files may be considered as PERMANENT if they [meet specified criteria] . Notify National Archives so that an analysis and appraisal of these case files can be conducted and appropriate disposition authorized ” So these proposed items are an effort to refine a schedule approved more than a decade ago. FN 750a(1) and a(2) cover the paper and electronic recordkeeping copies of the Routine Audit Project Files These routine files are proposed for disposal 2 years after final action instead of the current 8 years that was approved in Disposition Job No N1-330-90-4

FN 751a(1) and a(2) cover the paper and electronic recordkeeping copies of the proposed Permanent Audit Project Files These are files that audit management classifies as audits meeting one or more of the following selection criteria: “(1) establish a precedent and result in a major policy or procedural change; (2) are involved in extensive litigation, (3) receive widespread news media attention, (4) are widely recognized for uniqueness by specialists or authorities outside the Government; or (5) are reviewed at length in the Agency's annual report to the Congress” The indexes relating to each audit file are also to be retained as permanent The paper volume is estimated to average 4 cu ft per year, but the program office indicates that this could vary depending on how many project case files are identified as permanent. The project files are arranged by fiscal year and thereunder numerically by project number

For example, a 751a file cited by DOD-IG is the Audit Project File related to Report No. 98-183 (Project No. 7RD-5016.01), Training and Doctrine Command (TRADOC) Services and Support Provided to Members and Employees of Congress, which was issued on August 7, 1998 The final version of the report is available at <http://www.dodig.osd.mil/audit/reports/98-183.pdf> The report resulted from widespread news media attention as well as a Congressional request to review the appropriateness of, and costs associated with, visits to TRADOC by Republican members of Congress and their staffs

The electronic copies created by using electronic mail and word processing do not add substantial value to the recordkeeping copy The electronic copies covered by FN 750b(1) and (2) are currently approved for disposal per Disposition Job No N9-509-00-1, and we should reaffirm their disposability The electronic copies

covered by FN 751b(1) and (2) relate to those theoretically unscheduled records described in the note following current FN 750. It should be noted that proposed FN 751a provides for the permanent retention of both the paper and the electronic versions of the recordkeeping copy.

NWMWA raised the issue of filing the indexes under FN 702, Indexes to Audit Project Files (to be rescinded per this job), rather than with the Audit Project Files under FNs 750 and 751. The indexes relate to the contents of each project, and the DOD-IG Auditing program practice has been to file them with the related project case file. So this change merely reflects the way the records are actually being maintained. From an archival standpoint, only a limited number of project case files are likely to be designated as permanent under FN 751a.

### Conclusion

During the stakeholder unit review, three units (NWMWA, NWMD, and NWCTM) waived informal review while two others (NR and NWME) asked that they receive a copy of the appraisal memo for informal review. At NWMWA's suggestion, the current version of this job includes citations of current disposition authorities with the applicable schedule items in this job. NWMWA's comment about the FN 702 indexes has been addressed in the preceding paragraph. As to NR's comment about transfer dates of permanent records possibly being too soon, DOD-IG has agreed to lengthen the transfer dates for permanent paper records under FN 751a(1) to 25 years or later. However, the agency retained the early transfer instructions for the other permanent paper records because they do not contain security-classified or Privacy information. It should be noted that the permanent records covered by this job will be accessioned by NWCTM and NWME.

The retention periods proposed in this job are adequate to protect legal rights and ensure Government accountability. I recommend approval of this job after any necessary changes resulting from informal review by NR and NWME and any comments that might be received during the Federal Register notice process.



Richard A. Wire  
Appraisal Archivist  
Life Cycle Management Division

**From:** "Hopkins, Wanda A " <wahopkins@dodig osd mil>  
**To:** 'Richard Wire' <richard.wire@nara.gov>  
**Date:** 6/7/01 11:39AM  
**Subject:** RE RSVP re N1-509-00-7 (Auditing) and FN 700a

Dick and Retta

Per my notes and files, Dick is correct that 700a is not impacted or void. 700a should still be a continuing authority as far as my records indicate. However, Retta, the Records Mgr, has final decision authority for the DoDIG and I will defer to her final comments.

6/7/01 Telecom.  
Retta agreed.  
RAW

-----Original Message-----

From: Richard Wire [mailto:richard.wire@nara.gov]  
Sent: Thursday, June 07, 2001 10:53 AM  
To: rgraham-hall@dodig.osd.mil  
Cc: wahopkins@dodig.osd.mil  
Subject: RSVP re N1-509-00-7 (Auditing) and FN 700a

Retta,

The conversion table attached to the 11/28/2000 replacement version of this job appears adequate for our purposes.

The conversion table on the last page of your May 23 attachment indicates, in addition to the items covered or rescinded by N1-509-00-7, that FN 700 will be "VOID". Ray Braemer and I agreed that the Oct 1994 version of FN 700 itself did not cover a series of records but merely gave instructions for record cutoffs and the transfer date for permanent records. This agreement was reflected in the revised wording appearing in the June 2000 edition of IGDM 5015.2. N1-509-00-7 repeats the June 2000 instructions for FN 700 except that it omits the cutoff instructions (which, in any case, do not require SF 115 approval).

The Issue: Please confirm that that FN 700a, Auditing Correspondence Files, remains a continuing authority. As I indicate in my internal appraisal report, "This pending job [N1-509-00-7] excludes the Auditing Correspondence Files (FN 700a), whose recordkeeping copy and electronic copies were scheduled recently in Disposition Job No N1-509-00-6, along with similar previously unscheduled correspondence series appearing in other chapters of the DOD-IG records manual. So the pending job covers only those items in the 700s that are being revised or, in a few instances, scheduled for the first time. In addition, it indicates those items that are being rescinded, generally because the records are covered elsewhere."

Since every other chapter of the DOD-IG schedule has such a correspondence series, I assume that FN 700a remains a continuing authority.

If this is not the case, please let me know as soon as possible. Since I would like to send my appraisal report on this job forward, I will try to call you and Wanda about this loose end.

Thank you

Dick

Richard A Wire  
NARA/NWML  
301-713-7110 x260 voice  
301-713-6852 fax  
richard.wire@nara.gov <mailto:richard.wire@nara.gov> v

>>> "Graham-Hall, Retta H " <rgraham-hall@dodig.osd.mil> 05/23/01 05:45PM  
>>>

Dick, From what I understand, and please correct me if I am wrong, as of 11/28/2000, which seems to be the last corrected correspondence added to the file, the two columns in the attachment reflect the wishes of Audit

DP = Disposition Pending  
RKC = Record Keeping Copy

Retta H Graham-Hall  
Records and Forms Manager  
Office of the Inspector General  
Department of Defense  
Phone 703-604-9781  
Email rgraham-hall@dodig.osd.mil

-----Original Message-----

From: Richard Wire [mailto:richard.wire@nara.gov]  
<mailto:richard.wire@nara.gov>  
Sent: Thursday, May 10, 2001 7:34 AM  
To: rgraham-hall@dodig.osd.mil  
Cc: wahopkins@dodig.osd.mil  
Subject: N1-509-00-7 (Auditing)

Retta,

Please provide me (in electronic form) with a conversion table that lists in two columns (1) the old FN citation (per June 2000 manual) for Series 700 items and (2) the new FN citation (or whether it is rescinded or unchanged) for revised Series 700 items per this pending SF 115

Thank you

Dick

Richard A Wire  
NARA/NWML

301-713-7110 x260 voice  
301-713-6852 fax  
richard wire@nara go <mailto:richard wire@nara go  
<mailto:richard wire@nara go> > v

**CC:** "Graham-Hall, Retta H " <rgraham-hall@dodig osd mil>

**From:** "Graham-Hall, Retta H " <rgraham-hall@dodig.osd.mil>  
**To:** "richard.wire@nara.gov" <richard.wire@nara.gov>  
**Date:** 5/7/01 10:08AM  
**Subject:** FW: RSVP re N1-509-00-7 (Auditing)

Dick,

since you are down as a CC, then I presume you have already got this message from Wanda. If you have any questions, please do not hesitate to ask.

REtta

-----Original Message-----

From: Hopkins, Wanda A  
Sent: Monday, May 07, 2001 8:14 AM  
To: Graham-Hall, Retta H  
Cc: 'richard.wire@nara.gov'  
Subject: FW: RSVP re N1-509-00-7 (Auditing)

Retta,

In response to Mr. Wire's message, here is the corrected information:

FN 710a and 715a - the annual volume for permanent records will cumulatively total 1 cu. ft. per year for a total of 5 cu. ft. / 5 year period of time and the file arrangement will be by Fiscal year under functional operational area, i.e. Style Tips for Audit Reporting (STAR)

FN 721a - the annual volume will total 2 cu. ft. per year which equates to a total of 10 cu. ft. / 5 year period

-----Original Message-----

From: Richard Wire [mailto:richard.wire@nara.gov]  
Sent: Thursday, May 03, 2001 11:00 AM  
To: rgraham-hall@dodig.osd.mil  
Cc: wahopkins@dodig.osd.mil  
Subject: RSVP re N1-509-00-7 (Auditing)

Retta,

Thank you for forwarding the response from Wanda Hopkins. Here is where matters now stand:

FN 710a - The Nov. 2000 version of this schedule does not state that 710a will be incorporated into 750 and 751. This is a series separate from case files/project files, so it would be inappropriate to make such a change. Please have her provide the file arrangement and the annual volume for FN 710a by itself.

FN 715a and 721a - Do you mean that the volume of 2 cu. ft. per year applies to each of these series rather than to both of them combined? Thank you for the arrangement statement.

FN 751a Per previous info supplied, the volume is 4 cu ft per year  
Thank you for the arrangement statement

Note The arrangement and volume information is needed only for permanent records That is why I did not ask for such information regarding 735a

In short, please give me an updated response regarding FN 710a and a clarification regarding the annual volume for FN 715a and also for 721a

Thank you

Dick

>>> "Graham-Hall, Retta H " <rgraham-hall@dodig osd mil> 04/25/01 10 18AM  
>>>

Dick, here is the answer from the Audit office

I think it will answer your questions

One down a couple of more answers to get back

Retta H. Graham-Hall  
Records and Forms Manager  
Office of the Inspector General  
Department of Defense  
Phone 703-604-9781  
Email rgraham-hall@dodig osd mil

-----Original Message-----

From Hopkins, Wanda A  
Sent Wednesday, April 11, 2001 3 26 PM  
To Graham-Hall, Retta H  
Cc Payne, Dennis E , Dressel, Gary D  
Subject RE: N1-509-00-7 (Auditing)

Retta,

Here is the information that you requested based on Mr. Wire's questions

For File Number 710a m, per the November 2000 proposed conversion file, file number 710a would be incorporated into file numbers 750 and 751 As such, our estimate of 20 cu ft per 5 year period (4 cu ft/yr) would include any permanent files received from Audit Policy and Program Procedures Files (file number 710a)

For file number 751a, the file arrangement will be maintained by project number and fiscal year of completion

For file numbers 715a and 721a, the total accumulation of records will total about 2 cu ft per year (equates to 10 cu ft per 5 year period) and the file will be organized by policy subject, i e DoD Directive number, or by project name, i e DCAA QA program

Even though Dick did not ask, for file number 735a, the total accumulation

of records will total about 30 cu ft per year with the files arranged according to year of closure and within the files, by report number

Hope this resolves all open issues for the records management effort. If any questions, please let me know.

Wanda A. Hopkins  
Program Director,  
Information Technology Management Div  
(703) 604-9049  
DSN 664-9049  
wahopkins@dodig.osd.mil <mailto:wahopkins@dodig.osd.mil>

-----Original Message-----

From: Graham-Hall, Retta H  
Sent: Thursday, March 29, 2001 9:43 AM  
To: Hopkins, Wanda A  
Subject: FW: N1-509-00-7 (Auditing)

Wanda,

Just realized I have had this message from NARA for 30 days.

Please we can discuss at your convenience.

Retta H. Graham-Hall  
Records and Forms Manager  
Office of the Inspector General  
Department of Defense  
Phone: 703-604-9781  
Email: rgraham-hall@dodig.osd.mil

-----Original Message-----

From: Richard Wire [mailto:richard.wire@nara.gov]  
<mailto:richard.wire@nara.gov>  
Sent: Wednesday, February 28, 2001 3:52 PM  
To: rgraham-hall@dodig.osd.mil  
Subject: N1-509-00-7 (Auditing)

Retta,

Before I can complete my appraisal memo on this disposition job, I need you to have the audit office provide information on the file arrangement (at the series level, not the within an individual file or project) and annual accumulation of each of the following series: 710a, 715a, 721a, and 751a. In a reply dated 11/28/2000 and attached to Ray Braemer's email to me, the audit office (evidently Wanda Hopkins) stated that "the total volume of our permanent paper file will be 20 cu ft per 5-year period (averaging out to 4 cu ft per year)." The reply went on to discuss the sample for 751a.

From this reply it appears clear that the 751a(1) files accumulate an estimated 4 cu. ft per year. This seems a reasonable estimate. What is the file arrangement? Is it by fiscal year and thereunder by project number?

Please have the audit office clarify (1) the file arrangement and (2) the estimated annual accumulation for each of the following

710a, Audit Policy and Program Procedures Files (Recordkeeping Copy/Paper)

715a, Audit Planning Files (Recordkeeping Copy/Paper)

721a, Permanent Audit Oversight Project Files (Recordkeeping Copy/Paper)

While 4 cu ft per year might be reasonable for the 721a files, it appears to be excessive for the 710a and 715a files Hence I have requested clarification of the annual volume figures, along with the file arrangement

If you want me to deal directly with Wanda Hopkins on this matter, please let me know. I have her work phone but not her email address

Thanks

Dick

Richard A Wire  
NARA/NWML  
301-713-7110 x260 voice  
301-713-6852 fax  
richard.wire@nara.gov <mailto:richard.wire@nara.gov>  
<mailto:richard.wire@nara.gov>  
(New email address effective 2/12/2001)

**From:** Richard WIRE  
**To:** Thomas Brown  
**Date:** 12/12/00 11 23AM  
**Subject:** DOD IG Records [N1-509-00-7]

Tom,

The job you are referring to has been registered as N1-509-00-7. On the SHU form you signed on 8/4/00, you requested informal review (i.e., my appraisal memo will come to you before an FR notice is published). The pertinent item is FN 751a(2), Permanent Audit Project Files, which proposes the electronic data and related records for permanent retention. I am still working on this pending job.

In case you did not keep a paper copy of the proposed job, attached is an electronic copy of the latest version.

Dick

>>> Thomas Brown 12/12/00 10 25AM >>>

Dick - -

I just signed the SHU form for N1-509-01-1 for the Investigative Data System in the IG office at DOD.

Last summer, you e-mailed me that the IG's survey of officers and enlisted men about gays and antigay attitudes in the military "should be covered by an SF 115 about to be registered." The SHU form for DOD IG records prompts to ask if the SF 115 for this survey has been registered. I don't remember the SHU form crossing my desk. Thanks in advance.

**From:** "Braemer, Raymond W " <rbraemer@dodig osd mil>  
**To:** "Wire, Richard" <richard.wire@arch2.nara.gov>  
**Date:** 11/28/00 11:44AM  
**Subject:** FW: Response to follow-up questions from NARA

Dick, Below is the answers to your questions and attached is the new disposition instructions. Please marry it up to the 115 and go for final processing. Thanks, Ray

<<Disp700c.doc>>

Ray Braemer  
Chief, Records, Publications  
and Distribution Branch

-----Original Message-----

**From:** Hopkins, Wanda A  
**Sent:** Tuesday, November 28, 2000 10:33 AM  
**To:** Braemer, Raymond W  
**Subject:** Response to follow-up questions from NARA

Ray,

Attached is the response to the additional questions from Dick Wire, NARA, relating to Paragraph 4 of his e-mail dated August 23, 2000. Per our meeting on November 27, 2000, we agreed that you would handle the inclusion of a sentence for section 751a regarding the transfer of permanent files to storage within 25 years or upon declassification (Paragraph 3 of that e-mail).

If you have any further questions, please let me know. Thanks for the help.

<<FU resp to Nara2.doc>>

**CC:** "Hopkins, Priscilla R " <phopkins@dodig osd mil>

November 28, 2000

MEMO TO RAY BRAEMER, DODIG

Subject: Response to Additional Questions from Dick Wire, NARA/NWML

Para 4. We anticipate that the total volume of our permanent paper file will be 20 cu. ft. per 5-year period (averaging out to 4 cu. Ft. per year). The earliest 5-year batch of files would date from 1997 – 2002. It should be noted, however, that there might be years that the total volume of permanent files may not total 20 cu. ft. or there may be years that no files are transferred for storage or permanent retention

In response to the question about the sample provided relating to 751a, it is correct that the sample is only a demonstrative part of the entire case file that could be identified as permanent paper files. As for the sample provided for 710, this sample is also only a demonstrative part of the type of files that could be identified as permanent paper files. Additionally, the 710 sample is demonstrative of the type of permanent paper case files projected for future 721 case files. At this time, however, there are no specific samples of 721 case files available. Case files for 721 will result from changes in Agency policy that are event-driven and not date-driven and would be documented in case files similar to those provide for 710.

**From:** Richard WIRE  
**To:** Rbraemer@dodig.osd.mil  
**Date:** Tue, Nov 14, 2000 4:18 PM  
**Subject:** N1-509-00-7 (Auditing Files)

Ray,

Attached are a memo and a draft update of the schedule

Please give me a call when you have had a chance to look at them

Thanks

Dick

November 14, 2000

Memo to Ray Braemer, DOD-IG, from Dick Wire, NARA/NWML

Subject: N1-509-00-7 (Auditing Files)

You and I have done considerable work on this disposition job already, but there is some more to be done. These are my comments regarding the responses you and the program office made regarding the issues raised in my August 23, 2000, email. I will refer to the issues by the paragraph number in my email, a copy of which I have appended.

Paragraph 1: The explanation regarding the index (part of 751a) is satisfactory. As the program office has stated, the index is prepared only at the folder level and is retired with the recordkeeping copy under 751a(1).

Paragraph 2: This paragraph asked citations of the previous disposition jobs for all the items being revised, along with a conversion table. What you have provided is mostly OK (aside from the transfer date issue dealt with under Paragraph 3). I would suggest a few minor changes and an addition to 751a(2). (For your convenience, I have attached an updated electronic copy of the schedule and conversion table that incorporates my suggestions. When you send me your clean version, please update the footer date.)

- Delete the GRS 23 citations from the subitems under 701. As I indicated in my July 21, 2000, memo (relating to the June version of IGDM 5015.2), these are invalid citations for this FN. In other words, the recordkeeping copy under 701a is unscheduled, and hence GRS 23 cannot be used to cover the electronic copies.
- Delete from FN descriptions the references to the "a" level of Files No. if referring to a general rescinded FN. See the one instance in the description of 705 and the five instances in the description of 705-10.
- Add references to the "a" level if referring to the recordkeeping copy within the description of a recordkeeping copy not being rescinded. For example, under 720a, add an "a" to the 721 reference so that it reads "... which would fall under File No. 721a." (Note the replacement of "item" and the deletion of "below.") Another example is under 750a where the reference to "which would fall under item 751 below" should read "which would fall under File No. 751a(1)." Question: The electronic data and related records are designated as part (2) of the recordkeeping copy under 751, but they are not designated as part (2) of the recordkeeping copy under 750? Are such records generated only for the Permanent Audit Project Files but not for the Routine Audit Project Files?
- Add "in accordance with 36 CFR 1228.270 and 36 CFR 1234" at the end of the transfer instructions for 751a(2) [\*\*\*and 750a(2) if that FN needs a comparable subitem, as suggested by my previous question.\*\*\*]. As I stated in my July 19, 2000, email, it may be necessary to break out 751a(2) further if the NARA custodial unit requires such a change.

- In the conversion table, please delete “a” after 700 (2 instances) and revise 363 to read 363-10.

Paragraph 3 concerned the early transfer dates (from 7 to 12 years for the permanent paper records). The program office’s response indicates that these paper records would not yet be declassified. Since the National Archives does not normally accession classified paper records, you need to propose a transfer date that would ensure the records are declassified, such as that currently approved for such permanent paper records (“Transfer to National Archives in 5-year blocks when most recent record is 30 years old.”) Unless the program office wants to maintain these permanent records for a long time, you will need to add wording to provide for retirement to a records center when the records are \_\_\_ years old (or \_\_\_ years after cutoff). This change in transfer date does not affect the electronic records covered by 751a(2) because NARA generally encourages such transfers as soon as possible. However, at the time of the transfer, your agency will need to indicate on the SF 258 the precise level of security classification for such electronic records.

Paragraph 4 concerned the need for information regarding the file arrangement, total volume (with date span), and annual accumulation for each of the following series: 710a, 715a, 721a, and 751a. The program office’s reply did not provide this necessary information. We can, however, discuss the matter and arrive at suitable volume estimates and the appropriate arrangement information. As to volume, the TRADOC Summary sample provided under 751a does not seem voluminous. However, this sample may simply be a part of the entire case file. Please confirm whether this is so. The program office mentions the Guatemala Review Panel case, which has 42 cu. ft. (part of pending job N1-509-99-1 but evidently an example of what would fall under 751a).

Paragraph 4 also asked for samples relating to 710a, 715a, 721a, and 751a. The two samples marked “715” and “751” seem OK. However, the third sample marked “710 & 721” appears to relate only to 710 and seems to involve no project file (as would be the case with 721 records). Please clarify this and provide a sample of the 721 records.

Please give me a call, and we can resolve some of these issues right away. As to the others, you may need to check with the program office.

Thank you.

Dick

\*\*\*\* [Appended email follows:] \*\*\*\*

**From:** Richard WIRE  
**To:** Rbraemer@dodig.osd.mil  
**Date:** Wed, Aug 23, 2000 11:41 AM  
**Subject:** N1-509-00-7

Ray,

I have sent this job to other NARA units for their initial comments. Although it waived informal review, WNRC expressed concern that if the index for 751a were not a separate item (as it is under current 702), it would not be retained for transfer. A statement from you about the procedures for including the index with the 751a records would be useful.

WNRC also commented that the SF 115 does not cite previous jobs, although my July 28 email to you (appended here and attached to SF 115 sent for comment) indicated that the attached manual excerpt provided such citations. Since this point has been raised, please submit another clean version of the SF 115 that includes the citations of the previous jobs for all items that are being revised. (For your convenience, I have attached an electronic version of the replacement pages with the footer included. Please update the date in the footer when you submit the new clean copy.) In addition, please provide me with a conversion table (current FNs to proposed FNs).

Another unit (NR) expressed concern that the rapid transfer of permanent records to the National Archives (from 7 to 12 years for the permanent paper records) would require considerable review, from a NARA reference standpoint, for privacy and even security purposes. (Note: Special arrangements might be made for the electronic records under 750a(2) because NARA generally encourages such transfers as soon as possible.) This morning I consulted with the head of military reference at Archives II, and he wants the records to be declassified and as free of privacy concerns as possible before they are transferred to the National Archives. Please check with the program office about this issue. It may be that the current transfer date of 30 years in 5-year blocks is too late for DOD-IG purposes; however, we need to make sure that the records are truly ready to be transferred at the time indicated in the pending SF 115.

Please follow up on my request for samples and related information per my July 12 email under point no. 9: "On a separate sheet, please provide me with the file arrangement, total volume (with date span), and annual accumulation for each of the following series: 710a, 715a, 721a, and 751a. Also please provide me with sample copies of records in these series." As to 751a, please distinguish between the information relating to the final review and indexes (751a(1)) and the information relating to the electronic data and related records (751a(2)), with the latter broken down in megabytes or gigabytes for the strictly electronic records and in cubic feet or inches for the related records

At some point it may be necessary to break out these 751a subitems somewhat along the lines I proposed in my July 19 email to you except for the transfer date for the paper records (see attached copy, which also appends the July 12 email referred to earlier).

Thank you.

Dick

**700 AUDITING FILES.** This series covers records created or maintained by the OIG in performing auditing duties and responsibilities to prevent and reduce waste and fraud and to improve agency management.

**701 Internal OIG Audit Files.** Reports of audits and surveys that pertain to the operation of a mission or function within the OIG.

- a. Recordkeeping copy (paper): DESTROY when 2 years old *Disposition Pending*
- b. Electronic mail and word processing system copies.

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced. *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy DELETE when dissemination, revision, or updating is complete *Disposition Pending*

**\*702 Indexes to Audit Project Files. RESCINDED.** See File No 750 or 751 for indexes of Audit Project Files. (N1-330-90-4, N9-509-00-01)

**703 Case Control System Files. RESCINDED** These records never existed and are not required in Audit. (N1-330-88-4, N9-509-00-01)

**705 Inquiries and Reports Files. RESCINDED.** If files that are internally generated (required by OIG from DoD Agencies or the Military Services) they were incorporated into File No 700. If they were files that were externally generated by OIG as required by GAO, Congress, OMB or other Government agencies they were incorporated into File No. 750 or 751. (N1-330-90-4, N9-509-00-01)

**705-10 Congressional Inquiries Files. RESCINDED.** If inquiries and responses were of a routine nature, they were incorporated into File No. 363-10, 700, or 750. If they were of a substantive nature having historical value, they were incorporated into File No 363-20 or 751. (N1-330-88-4, N9-509-00-01)

**710 AUDIT POLICY AND PROGRAM PROCEDURES FILES.** Records defining and documenting the policies required for directing, controlling, and carrying out OIG audit operations. These files include directives, regulations, guidelines and other policy documents that address audit policy and procedures, such as audit and audit-related directives and the Internal Audit Manual. Also included are supporting documentation such as comments on new or revised policies and legislation that participated the new or revised policies.

a. Recordkeeping copy (paper) excluding the supporting documentation. PERMANENT: Cut off when superseded or obsolete. Transfer to National Archives in 5-year blocks when most recent record is 30 years old. (N1-330-88-1) *Disposition Pending*

b. Other copies, supporting documentation, work papers and background material (paper). DESTROY when no longer needed. (N1-330-88-1) *Disposition Pending*

c. Electronic mail and word processing system copies:

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced. (N9-509-00-01) *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) *Disposition Pending*

**715 Audit Planning Files.** Records on planning annual audit schedules and procedures pertaining to the selected audits, such as the annual audit plan or related documents

a. Recordkeeping copy (paper). PERMANENT: Cut off when superseded or obsolete. Transfer to National Archives in 5-year blocks when most recent record is 30 years old. (N1-330-88-4) *Disposition Pending*

b. Other copies, work papers and background material (paper): DESTROY when no longer needed. (N1-330-88-4) *Disposition Pending*

c. Electronic mail and word processing system copies:

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced. (N9-509-00-01) *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) *Disposition Pending*

**720 ROUTINE AUDIT OVERSIGHT PROJECT FILES.** Documents created by the DoD, IG, that monitor and evaluate DoD and other Federal Agencies internal and contract audits, internal reviews, and the audit principles, policies and procedures, as well as, documents created by the DoD,IG which monitor and evaluate DoD external audits and external audit principles, policies and procedures.

a. Recordkeeping copy (paper) DESTROY 3 years after final management decision of the final audit oversight report unless management classifies those files as "Permanent Audit Oversight Project Files," which would fall under File No. 721a. (N1-330-88-4) ***Disposition Pending***

b. Electronic mail and word processing system copies:

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy DELETE within 180 days after the recordkeeping copy has been produced (N9-509-00-01) ***Disposition Pending***

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) ***Disposition Pending***

**721 PERMANENT AUDIT OVERSIGHT PROJECT FILES.** Documents created by the DoD, IG, that monitor and evaluate DoD and other Federal Agencies internal and contract audits, internal reviews, and the audit principles, policies and procedures, as well as, documents created by the DoD,IG which monitor and evaluate DoD external audits and external audit principles, policies and procedures that: (1) establish a precedent and result in a major policy or procedural change, (2) are involved in extensive litigation; (3) receive widespread news media attention; (4) are widely recognized for their uniqueness by specialists or authorities outside the Government; or (5) are reviewed at length in the Agency's annual report to Congress.

a. Recordkeeping copy (paper). PERMANENT: Cut off when final report is issued Transfer to National Archives in 5-year blocks when most recent record is 30 years old. ***Disposition Pending***

b. Electronic mail and word processing system copies:

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced ***Disposition Pending***

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy DELETE when dissemination, revision, or updating is complete. ***Disposition Pending***

**730 AUDIT FOLLOW-UP CASE FILES. RESCINDED.** Incorporated into File No 735 (N1-330-88-4, N9-509-00-01)

**735 GAO/OIG Audit Follow-up Case Files.** Documents that record the mediation of disputes regarding recommendations in DoD, IG audit reports and followup on management corrective action on recommendations in both DoD, IG and GAO reports

a. Recordkeeping copy (paper) Maintain closed Audit Follow-up Case Files in the office of record and review periodically to select those that should be transferred to the WNRC DESTROY transferred cases 20 years after case closure (N1-330-88-4) **Disposition Pending**

b. Electronic mail and word processing system copies:

(a) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy DELETE within 180 days after the recordkeeping copy has been produced. (N9-509-00-01) **Disposition Pending**

(b) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) **Disposition Pending**

**740 CONTRACT AUDIT CASE FILES. RESCINDED.** Incorporated into File No. 750 or 751 below. (N1-330-88-4, N9-509-00-01)

**750 ROUTINE AUDIT PROJECT FILES.** Documents created or maintained by the DoD,IG, pertaining to unclassified or classified audits of programs, operations, policies and procedures and special request audits of external departmental activities and operations. Audit files include such documents as: fact sheets for proposed audits and evaluations, requests/decision memorandums, survey and audit completion debriefs, official audit project files, pre-audit planning material, internal and external audit correspondence, audit working papers, scheduling and management support documents, electronic mail messages, electronic administrative recordkeeping files, internal and external quality control certification statements and peer review reports, draft and final audit reports, and management comments on draft and final reports Also included are related indexes.

a. Recordkeeping copy (paper): DESTROY 2 years after final management decision of the final audit report unless audit management classifies those files as "Permanent Audit Project Files," which would fall under File No. 751a. (N1-330-90-4) **Disposition Pending**

b. Electronic mail and word processing system copies.

(1) Copies that have no further administrative value after the recordkeeping copy is made Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced. (N9-509-00-01) **Disposition Pending**

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) **Disposition Pending**

**751 PERMANENT AUDIT PROJECT FILES.** Documents created or maintained by the DoD,IG pertaining to unclassified or classified audits of programs, operations, policies, procedures and special request audits that. (1) establish a precedent and result in a major policy or procedural change; (2) are involved in extensive litigation; (3) receive widespread news media attention; (4) are widely recognized for uniqueness by specialists or authorities outside the Government, or (5) are reviewed at length in the Agency's annual report to the Congress. Also included are related indexes

a. Recordkeeping copy

(1) Paper. PERMANENT. Cut off when final report is issued. Transfer, with related indexes, to National Archives in 5-year blocks when most recent record is 30 years old. ***Disposition Pending***

(2) Electronic data and related records. (Includes master file of electronic data, source documents/data and output documents/data.) PERMANENT. Transfer to National Archives, with technical documentation, 2 years after the final report is issued, in accordance with 36 CFR 1228.270 and 36 CFR 1234. ***Disposition Pending***

b. Electronic mail and word processing system copies:

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced. ***Disposition Pending***

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. ***Disposition Pending***

**Below is the conversion table of Current File Numbers  
to Proposed File Numbers.**

<b><u>Current File Number</u></b>	<b><u>Proposed File Number</u></b>
<b>702</b>	<b>750 &amp; 751</b>
<b>703</b>	<b>Not Converted (RESCINDED)</b>
<b>705</b>	<b>700, 750 &amp; 751</b>
<b>705-10</b>	<b>363-10, 700, 750 &amp; 751</b>
<b>720</b>	<b>720 or 721</b>
<b>730</b>	<b>735</b>
<b>740</b>	<b>750 or 751</b>
<b>750</b>	<b>750 or 751</b>

**From:** "Braemer, Raymond W " <rbraemer@dodig.osd.mil>  
**To:** "'Wire, Richard'" <richard.wire@arch2.nara.gov>  
**Date:** Fri, Sep 29, 2000 10:38 AM  
**Subject:** FW: Response to NARAs Comments (N1-509-00-7)

Dick, The following is the response to your e-mail on our Audit Series (job number N1-509-00-7). I am sending the samples you requested via regular mail. This should pretty well finish what you need for this SF115. Thanks again for your assistance. Ray

Ray Braemer  
Chief, Records, Publications  
and Distribution Branch

> -----Original Message-----

> From: Hopkins, Wanda A  
> Sent: Friday, September 29, 2000 10:22 AM  
> To: Braemer, Raymond W, Dressel, Gary D  
> Subject: Response to NARAs Comments  
>  
> Ray,  
>  
> Here is the response to Dick Wire's questions. Hope this satisfies the  
> mail.  
>  
> I'll bring the examples down to you this morning.  
>  
> <<Response to NARA initial Comments doc>>

**CC:** "Hopkins, Wanda A " <wahopkins@dodig.osd.mil>

**Response to NARA initial Comments**  
**on Change to**  
**Audit Disposition Schedules (File Series 700)**

Para 1. DoDIG-AUD usually develops an index for each folder in an audit project to track supporting audit documents and/or work papers for a particular folder. There is no centralized or consolidated index of documents and work papers for the entire project. As such, there was no need to have a separate section for Indexes to Audit Case files.

The decision process that would be used to destroy the audit files 2 years after the completion of audit, would also destroy the related indexes. There would be no special disposition of audit file indexes.

(You should note that in the original AUD submission of our proposed changes, we included a description of the type of documents that made up the Audit Files. In that description, audit indexes were included. That description was eliminated because it was too detailed, per NARA and AIM. I do not see where anything would be added by including a statement or section of audit indexes when centralized or summary indexes are not used.)

Para 2. Ray took care of the response to this paragraph.

Para 3. Regarding the concern on rapid transfer of permanent records, the DoDIG would normally review audit files in great detail prior to categorizing those files as permanent records, unless directed to do so. The time period of 2 years after audit disposition for evaluation of files identified as permanent would be no different than those identified for destruction. The DoDIG will make the initial assessment of the current security classification status of any documents prior to transfer to NARA. However, once transferred, the permanent documents retain the specified security designations until those documents are removed from archive for operational use at which time another security evaluation should be performed to determine any changes in those classifications. However, the DoDIG believes that the modified timeframes are appropriate to accomplish the review and transfer of permanent records to NARA.

Para 4. I am unable to provide you with the information relating to NARA's request for a breakdown on information between megabytes or gigabytes for electronic permanent files because I have no historical data with which to make an educated estimate. The DoDIG has never identified any previous electronic records as permanent files that would require transfer to NARA for archive. As for the request for information on cubic feet or inches for permanent hardcopy files, I refer you to the two cases that were recently identified for future transfer to NARA - **Guatemala** and **Brothers to the Rescue**. Each of these case files provides an example of the space that would be required for permanent hardcopy data.

**Response to NARA initial Comments**  
**on Change to**  
**Audit Disposition Schedules (File Series 700)**

However, I am providing a sample, being sent under separate cover, of the type of information and associated index that represent the Audit Project Files (751) produced by the DoDIG and that could be sent to National Archives as permanent records. Examples of such files recently identified as permanent audit project files include **Guatemala** and **Brothers to the Rescue**. However, most audit files do not fall into the category of permanent files.

I am also providing a sample of the type of information that would be included in the Audit Policy and Program Procedure Files (710) and Audit Planning Files (715) that would be transferred to National Archives if such records were categorized as permanent.

**Reference:**

-----Original Message-----

From: Richard WIRE [mailto:[richard.wire@arch2.nara.gov](mailto:richard.wire@arch2.nara.gov)]

Sent: Wednesday, August 23, 2000 11:41 AM

To: Rbraemer@dodig.osd.mil

Cc: David Weber; Richard E. Wood; Thomas Brown; Tim Nenninger, David Weber; Judith A. Barnes

Subject: N1-509-00-7

Ray,

I have sent this job to other NARA units for their initial comments. Although it waived informal review, WNRC expressed concern that if the index for 751a were not a separate item (as it is under current 702), it would not be retained for transfer. A statement from you about the procedures for including the index with the 751a records would be useful.

WNRC also commented that the SF 115 does not cite previous jobs, although my July 28 email to you (appended here and attached to SF 115 sent for comment) indicated that the attached manual excerpt provided such citations. Since this point has been raised, please submit another clean version of the SF 115 that includes the citations of the previous jobs for all items that are being revised. (For your convenience, I have attached an electronic version of the replacement pages with the footer included. Please update the date in the footer when you submit the new clean copy.) In addition, please provide me with a conversion table (current FNs to proposed FNs)

Another unit (NR) expressed concern that the rapid transfer of permanent records to the National Archives (from 7 to 12 years for the permanent paper records) would require considerable review, from a NARA reference standpoint, for privacy and even security purposes. (Note. Special arrangements might be made for the electronic records under 750a(2) because NARA generally encourages such transfers as soon as possible.) This morning I consulted with the head of

military reference at Archives II, and he wants the records to be declassified and as free of privacy concerns as possible before they are transferred to the National Archives. Please check with the program office about this issue. It may be that the current transfer date of 30 years in 5-year blocks is too late for DOD-IG purposes; however, we need to make sure that the records are truly ready to be transferred at the time indicated in the pending SF 115.

Please follow up on my request for samples and related information per my July 12 email under point no 9. "On a separate sheet, please provide me with the file arrangement, total volume (with date span), and annual accumulation for each of the following series: 710a, 715a, 721a, and 751a. Also please provide me with sample copies of records in these series." As to 751a, please distinguish between the information relating to the final review and indexes (751a(1)) and the information relating to the electronic data and related records (751a(2)), with the latter broken down in megabytes or gigabytes for the strictly electronic records and in cubic feet or inches for the related records

At some point it may be necessary to break out these 751a subitems somewhat along the lines I proposed in my July 19 email to you except for the transfer date for the paper records (see attached copy, which also appends the July 12 email referred to earlier).

Thank you.

Dick

**From:** "Braemer, Raymond W" <rbraemer@dodig.osd.mil>  
**To:** "richard.wire@arch2.nara.gov" <richard.wire@arch>  
**Date:** Thu, Aug 24, 2000 10:30 AM  
**Subject:** N1-509-00-7

Dick, Attached is the answers to paragraph 2 of your August 23, 2000 11:41 AM e-mail. The answers to the other paragraphs of your e-mail should be coming from Gary Dressel or Wanda Hopkins.

<<Disp700c.doc>>

Ray Braemer  
Chief, Records, Publications  
and Distribution Branch

**Attached is the revised version of Series 700. This version includes citations of previous jobs (IN RED). I have also changed the footer on these replacement pages.**

**Below is the conversion table of Current File Numbers  
to Proposed File Numbers.**

<b><u>Current File Number</u></b>	<b><u>Proposed File Number</u></b>
<b>702</b>	<b>750 &amp; 751</b>
<b>703</b>	<b>Not Converted (RESCINDED)</b>
<b>705</b>	<b>700a, 750 &amp; 751</b>
<b>705-10</b>	<b>363, 700a, 750 &amp; 751</b>
<b>720</b>	<b>720 or 721</b>
<b>730</b>	<b>735</b>
<b>740</b>	<b>750 or 751</b>
<b>750</b>	<b>750 or 751</b>

**If you have any questions please let me know. Thanks, Ray**

**700 AUDITING FILES.** This series covers records created or maintained by the OIG in performing auditing duties and responsibilities to prevent and reduce waste and fraud and to improve agency management

**701 Internal OIG Audit Files.** Reports of audits and surveys that pertain to the operation of a mission or function within the OIG.

a. Recordkeeping copy (paper) DESTROY when 2 years old (GRS 23-1) ***Disposition Pending***

b. Electronic mail and word processing system copies.

(1) Copies that have no further administrative value after the recordkeeping copy is made Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy DELETE within 180 days after the recordkeeping copy has been produced (GRS 23-10a) ***Disposition Pending***

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. (GRS 23-10b) ***Disposition Pending***

**\*702 Indexes to Audit Project Files. RESCINDED.** See File No 750 or 751 for indexes of Audit Project Files. (N1-330-90-4, N9-509-00-01)

**703 Case Control System Files. RESCINDED.** These records never existed and are not required in Audit. (N1-330-88-4, N9-509-00-01)

**705 Inquiries and Reports Files. RESCINDED** If files that are internally generated (required by OIG from DoD Agencies or the Military Services) they were incorporated into File No 700a If they were files that were externally generated by OIG as required by GAO, Congress, OMB or other Government agencies they were incorporated into File No. 750 or 751. (N1-330-90-4, N9-509-00-01)

**705-10 Congressional Inquiries Files. RESCINDED.** If inquiries and responses were of a routine nature, they were incorporated into File No 363-10a, 700a, or 750a. If they were of a substantive nature having historical value, they were incorporated into File No 363-20a or 751a (N1-330-88-4, N9-509-00-01)

**710 AUDIT POLICY AND PROGRAM PROCEDURES FILES.** Records defining and documenting the policies required for directing, controlling, and carrying out OIG audit operations. These files include directives, regulations, guidelines and other policy documents that address audit policy and procedures, such as audit and audit-related directives and the Internal Audit Manual. Also included are supporting documentation such as comments on new or revised policies and legislation that participated the new or revised policies.

a. Recordkeeping copy (paper) excluding the supporting documentation: PERMANENT. Cut off when superseded or obsolete. Transfer to National Archives in 5-year blocks when most recent record is 5 years old (N1-330-88-4) *Disposition Pending*

b. Other copies, supporting documentation, work papers and background material (paper): DESTROY when no longer needed (N1-330-88-4) *Disposition Pending*

c. Electronic mail and word processing system copies:

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced (N9-509-00-01) *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) *Disposition Pending*

**715 Audit Planning Files.** Records on planning annual audit schedules and procedures pertaining to the selected audits, such as the annual audit plan or related documents.

a. Recordkeeping copy (paper): PERMANENT. Cut off when superseded or obsolete. Transfer to National Archives in 5-year blocks when most recent record is 5 years old (N1-330-88-4) *Disposition Pending*

b. Other copies, work papers and background material (paper): DESTROY when no longer needed. (N1-330-88-4) *Disposition Pending*

c. Electronic mail and word processing system copies:

(1) Copies that have no further administrative value after the recordkeeping copy is made. Includes copies maintained by individuals in personal files, personal electronic mail directories, or other personal directories on hard disk or network drives, and copies on shared network drives that are used only to produce the recordkeeping copy. DELETE within 180 days after the recordkeeping copy has been produced (N9-509-00-01) *Disposition Pending*

(2) Copies used for dissemination, revision, or updating that are maintained in addition to the recordkeeping copy. DELETE when dissemination, revision, or updating is complete. (N9-509-00-01) *Disposition Pending*

**From:** Richard WIRE  
**To:** Rbraemer@dodig osd mil  
**Date:** Wed, Aug 23, 2000 11 41 AM  
**Subject:** N1-509-00-7

Ray,

I have sent this job to other NARA units for their initial comments. Although it waived informal review, WNRC expressed concern that if the index for 751a were not a separate item (as it is under current 702), it would not be retained for transfer. A statement from you about the procedures for including the index with the 751a records would be useful.

WNRC also commented that the SF 115 does not cite previous jobs, although my July 28 email to you (appended here and attached to SF 115 sent for comment) indicated that the attached manual excerpt provided such citations. Since this point has been raised, please submit another clean version of the SF 115 that includes the citations of the previous jobs for all items that are being revised. (For your convenience, I have attached an electronic version of the replacement pages with the footer included. Please update the date in the footer when you submit the new clean copy.) In addition, please provide me with a conversion table (current FNs to proposed FNs).

Another unit (NR) expressed concern that the rapid transfer of permanent records to the National Archives (from 7 to 12 years for the permanent paper records) would require considerable review, from a NARA reference standpoint, for privacy and even security purposes. (Note: Special arrangements might be made for the electronic records under 750a(2) because NARA generally encourages such transfers as soon as possible.) This morning I consulted with the head of military reference at Archives II, and he wants the records to be declassified and as free of privacy concerns as possible before they are transferred to the National Archives. Please check with the program office about this issue. It may be that the current transfer date of 30 years in 5-year blocks is too late for DOD-IG purposes, however, we need to make sure that the records are truly ready to be transferred at the time indicated in the pending SF 115.

Please follow up on my request for samples and related information per my July 12 email under point no 9. "On a separate sheet, please provide me with the file arrangement, total volume (with date span), and annual accumulation for each of the following series: 710a, 715a, 721a, and 751a. Also please provide me with sample copies of records in these series." As to 751a, please distinguish between the information relating to the final review and indexes (751a(1)) and the information relating to the electronic data and related records (751a(2)), with the latter broken down in megabytes or gigabytes for the strictly electronic records and in cubic feet or inches for the related records.

At some point it may be necessary to break out these 751a subitems somewhat along the lines I proposed in my July 19 email to you except for the transfer date for the paper records (see attached copy, which also appends the July 12 email referred to earlier).

Thank you

Dick

**From:** Richard WIRE  
**To:** "rbraemer@dodig osd mil"@NARA INTERNET  
**Date:** Fri, Jul 28, 2000 3 19 PM  
**Subject:** [N1-509-00-7 to be]Clean Copy of Disposition for the Audit (700) Series

Ray,

I have received your clean copy of the pages attached to the SF 115 (what we sometimes call the SF

115A) and am requesting that the job be registered (as N1-509-00-7 by my accounting) To avoid confusion, I have added a footer ("7/28/2000 Replacement Page [#]") to the document that you transmitted An electronic copy of the footer version is attached

Normally NARA requires the current disposition authority for each item being revised But in this instance I think we can dispense with those citations on the replacement pages for two reasons (1) The proposed revisions are so extensive and (2) I can attach to the job an annotated copy of chapter 7 from the June 2000 edition of IGDM 5015 2

Have a good time in Philadelphia

Dick

>>> "Braemer, Raymond W" <[rbraemer@dodig.osd.mil](mailto:rbraemer@dodig.osd.mil)> 07/28 12 29 PM >>>

Dick,

Reference your comment about "751a Recordkeeping copy " (Breaking down the Electronic data and related records ) The Audit people feel that the "Electronic data and related records" should be kept together and would like to keep them Permanent (See 751a(1) & (2) on the clean copy attached )

Reference item #6 (FN 730/735) of your July 19, 2000 3 36 pm E-Mail Audit gave me the following statement

"I don't know where the previous language came from, but "arbitration's" do not exist In the early 80's, Audit Follow Up (AFU) kept separate mediation files, but that practice was discontinued in the mid 80's All our files now are followup files, and they include the mediation record for those DoD, IG, reports in which there was a mediation These documents regard management decisions rather than legal or quasi-legal rulings Therefore, since policies, programs, and directions change, their administrative value diminishes over time No followup files merit permanent retention Twenty years was selected as a safe outside boundary for how long we could conceivably want to retain a file "

As far as samples of files (Item #9 of your e-mail) I am waiting for those, but wanted to get this clean copy to you so you can register this job Attached is the clean copy Thanks again for your assistance

<<Disp700b doc>>

Ray Braemer  
Chief, Records, Publications  
and Distribution Branch

**From:** Richard WIRE  
**To:** [Rbraemer@dodig.osd.mil](mailto:rbraemer@dodig.osd.mil)  
**Date:** Wed, Jul 19, 2000 3 35 PM  
**Subject:** DOD-IG 115 on 700s Survey of Attitudes Toward Gays in Military

Ray, [2nd transmittal attempt]

In a July 12 phone conversation with you, after I had sent the appended email message, you reported you would be on vacation for a week and thus unable to respond to my suggestions until the middle of this week

Today Tom Brown of NARA's Electronic and Special Media Records Services Division (NWME) again inquired about the survey of attitudes toward gays in the military. As we have discussed informally in the past, this survey (as widely reported in news stories in March of this year) is an example of what I understand would fall under 751, Permanent Audit Project Files, because it clearly meets the third selection criterion ("Receive widespread news media attention"). Although we can refine this schedule item and its subitems later after the SF 115 is registered, normally survey information is also generated in electronic form. However, 751a covers only the paper recordkeeping copy. In the case of this survey, there were undoubtedly electronic records other than the electronic mail and word processing copies covered by 751b. Even if DOD-IG has another DOD agency, such as DLA/DMDC, generate such data, it appears to me that DOD-IG would own the data. Therefore I suggest refining the wording of 751a to read as follows:

"a Recordkeeping copy

(1) Paper PERMANENT. Cut off when final report is issued. Transfer, with related indexes, to National Archives in 5-year blocks when most recent record is 2 years old.

(2) Electronic data and related records

(a) Master file of electronic data PERMANENT. Transfer to National Archives, with technical documentation, 2 years after the final report is issued.

(b) Source documents/data. Destroy/delete after \_\_\_\_\_

(c) Output documents/data EXCLUDING those covered by 751a(1) and 751a(2)(a). Destroy/delete after \_\_\_\_\_ "

Once you have sent me a clean copy of the pages to be attached to the SF 115, I will have the SF 115 registered, and then Tom Brown and those in other NARA units will have an opportunity to examine the schedule and suggest any necessary changes.

Please call or email me if you have any questions.

Thanks

Dick

**From:** Richard WIRE  
**To:** [Rbraemer@dodig.osd.mil](mailto:Rbraemer@dodig.osd.mil)  
**Date:** Wed, Jul 12, 2000 3:16 PM  
**Subject:** DOD-IG 115 on 700s (Auditing Files) Correctly numbered

Ray,

Before registering this SF 115 as a job, I have some suggested changes that you may wish to make and then provide me with a clean copy. Otherwise I can make hand-written changes. Furthermore, I have raised some issues that need to be addressed during the processing of this SF 115 once it is registered.

1. Since the three items under 700 have been approved in N1-509-00-6, this entire section should be marked out (or left out of a clean copy).

2. In all instances of "RESCINDED" items, the wording "Disposition pending" needs to be marked out (or left out of a clean copy). These will remain in the job but will not be counted as items for disposition approval purposes.

3 As to the note under 705-10, please consider some refinements, such as the following "If inquiries and responses were of a routine nature, they were incorporated into File No 363-10a, 700a, or 750a If they were of a substantive nature having historical value, they were incorporated into File No 363-20a or 751a "

4 As to the items falling under 710 and 715, there are some loose ends Except for the revised transfer dates and the expanded description of 710, there appear to be no changes However, after checking with Sue Elter and after considering the early nature of the original appraisal, I have decided to keep these items in the job

a In the expanded general description under 710, I suggest adding "such as the internal audit manual," so that it concludes " and procedures, such as the internal audit manual, and documentation supporting the establishment or revision to the policy documents " However, from our 6/7/2000 meeting it was my understanding that the recordkeeping copy of the 710 material consisted solely of the internal audit manual If that is so, then the description could be shortened considerably, and the total volume would be minimal, especially given what I suggest next

b Since the wording "documentation supporting " has been added to the general description under 710, I suggest that you refine the description of 710a so that it reads "a Recordkeeping copy (paper) excluding the supporting documentation PERMANENT " and that you add "supporting documentation" to the description under 710b so that it reads "Other copies, supporting documentation, work papers, and background material (paper) DESTROY "

c I suggest deleting "no less than" before "5-year blocks" in the transfer language for 710a so that it reads "Transfer to National Archives in 5-year blocks when most recent record is 5 years old " This is sufficient language for the records schedule, and any exceptions can be dealt with at the time of the transfer (Note When other NARA units review the schedule, they will comment on your proposal of "5 years old" rather than the current "30 years old" in regard to 710a as well as 715a They will also comment on the transfer dates proposed for 721a and 751a )

5 If you keep the current list of selection criteria under 721, please add the word "or" before the 6th criterion so that the description reads as follows " annual report to Congress, or (6) are selected " Basically, however, I would suggest omitting the 6th criterion from the description of 721 as well as from that of 751 and putting the "or" before the 5th criterion in both instances The procedures mentioned in the 6th criterion should already be documented in procedural manuals

6 As to 735, please indicate what has happened to "arbitrations which establish a precedent" that are currently permanent under 730b(1) and 735b(1) Is it possible to establish 736 to cover those records as permanent? Or is it possible to include a cross-reference instruction under the general description of 735 to incorporate such records into FN 751a or another FN? Or are the arbitrations always so routine that they are never precedent-setting?

7 As to 750 and 751, please add at the end of the general descriptions this wording "Also included are related indexes "

8 As to the transfer dates for 721a and 751a, I suggest the following wording for "blocking" the records "Cut off when final report is issued Transfer to National Archives in 5-year blocks when most recent record is \_\_\_ years old [\*\*\* "3 years old for 721a" and "2 years old" for 751a \*\*\*] "

9 On a separate sheet, please provide me with the file arrangement, total volume (with date span), and annual accumulation for each of the following series 710a, 715a, 721a, and 751a Also please provide me with sample copies of records in these series While you gather this information and the sample copies, I can proceed with registering the SF 115 as a job once I hear from you

Please email or call me if you have any questions

Thank you

Dick

**CC:** Susan ELTER, Thomas Brown

**CC:** David Weber, David Weber, Judith A Barnes, Ric

### REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-509-00-7 Date Sent: 8/2/2000 Date Received: 8/9/2000 DW

Return to sender by: 8-11-2000

Route to:	
1	Danita Stanton (for David S. Weber), NR, A2, Room 3600
Return to: Dick Wire, NWML, A2, Room 2100	

31 pgs

- A.  This job has also been sent to: NWMLWA, NWMLD, NWML E, & NWMLCTM.
- B.  NWML general comments on this job:
- C.  NWML wishes assistance in appraising these records:

**FOR STAKEHOLDER USE.** Check the applicable options, and provide the information requested.

- 1. We waive informal review.  Please send copy of completed job
- 2. We wish to review appraisal report.  Please send copy of completed job.
- 3. We wish to participate directly in appraising the entire job or the following schedule items:

\_\_\_\_\_. SHU point of contact for appraisal is:  
 \_\_\_\_\_ . Phone No. \_\_\_\_\_.

SHU comments: See attached  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Date Sent: 8/8/00 SHU Signature David Weber

NWML Contact: Dick Wire	Room No.: 2100, A2
	Phone No.: 301-713-7110 x260

N1-509-00-7

Dick Wire's memo of 7/12/00 answered a number of questions about this job and was prescient in its view that NARA units would comment on the rapid transfer of the permanent records into archival custody. The proposed offer would allow public access to what on the surface seem to be sensitive materials when the files are anywhere from 7 to 12 years old. That will probably require considerable review (from the standpoint of reference) for privacy or even security purposes prior to release-a function that the agency would have previously handled. Is this really appropriate? Will it have an impact on our ability to provide service?

Permanent status is appropriate, but transfer before the records are even 10 years old is not.

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. 11-509-00-17 Date Sent: 8/2/2000 Date Received: 8-4-2000

Return to sender by: 8-9-2000

8/7/2000  
DW 8/8

Route to:
1 Thomas Brown, NWME, A2, Room 5320
Return to: Dick Wire, NWML, A2, Room 2100

- A.  This job has also been sent to: NWMLWA, NWMLD, NR, + NWICTM
- B.  NWML general comments on this job: See 751a(2), my 7-19 email to you, and my 7-19 email to Ray Braemer,
- C.  NWML wishes assistance in appraising these records:

FOR STAKEHOLDER USE. Check the applicable options, and provide the information requested.

- 1. We waive informal review.  Please send copy of completed job.
- 2. We wish to review appraisal report.  Please send copy of completed job.
- 3. We wish to participate directly in appraising the entire job or the following schedule items:  
 \_\_\_\_\_ . SHU point of contact for appraisal is:  
 \_\_\_\_\_ . Phone No. \_\_\_\_\_

SHU comments: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Date Sent: 8-4-2000 SHU Signature [Signature]

NWML Contact: Dick Wire	Room No.: 2100, A2
	Phone No.: 301-713-7110 x260

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-509-00-7 Date Sent: 8/2/2000 Date Received: 8/4/2000 TW

Return to sender by: 8-9-2000

Route to:
1 Judith Barnes, NWMWA, WNRC, Room 125
Return to: Dick Wire, NWML, A2, Room 2100

- A.  This job has also been sent to: NWMD, NR, NWME, & NWICTM
- B.  NWML general comments on this job:
- C.  NWML wishes assistance in appraising these records:

FOR STAKEHOLDER USE. Check the applicable options, and provide the information requested.

- 1. We waive informal review.  Please send copy of completed job.
- 2. We wish to review appraisal report.  Please send copy of completed job.
- 3. We wish to participate directly in appraising the entire job or the following schedule items:

\_\_\_\_\_. SHU point of contact for appraisal is:  
 \_\_\_\_\_ . Phone No. \_\_\_\_\_

SHU comments: Citation to previous jobs are missing [see 7/28/2000 email.]  
Item 751: Index should be a separate item; if not it will  
not be kept.

Date Sent: 8/3/2000 SHU Signature: JBarnes

NWML Contact: Dick Wire	Room No.: 2100, A2
	Phone No.: 301-713-7110 x260

REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-509-00-7 Date Sent: 8/2/2000 Date Received: 8/4/00 DW

Return to sender by: 8-9-2000

Route to:
1 Jeanne Schauble, NWMD, A2. Room 2600
Return to: Dick Wire, NWML, A2, Room 2100

- A.  This job has also been sent to: NWMLWA, NR, NWML, + NWCTM
- B.  NWML general comments on this job:
- C.  NWML wishes assistance in appraising these records:

**FOR STAKEHOLDER USE.** Check the applicable options, and provide the information requested.

- 1. We waive informal review.  Please send copy of completed job.
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\_\_\_\_\_ . SHU point of contact for appraisal is:  
\_\_\_\_\_ . Phone No. \_\_\_\_\_

SHU comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Date Sent: 8/4/00 SHU Signature Richard S. Wood

NWML Contact: Dick Wire	Room No.: 2100, A2
	Phone No.: 301-713-7110 x260

# REQUEST FOR STAKEHOLDER UNIT ACTION

Job No. N1-509-00-7 Date Sent: 8/2/2000 Date Received: by DW 8/15/2000

Return to sender by: 8-9-2000

Route to:
1 Timothy K. Nenninger, NWCTM, A2, Room 2400
Return to: Dick Wire, NWML, A2, Room 2100

- A.  This job has also been sent to: NWMLWA, NWMLD, NR, & NWML E
- B.  NWML general comments on this job:
- C.  NWML wishes assistance in appraising these records:

**FOR STAKEHOLDER USE.** Check the applicable options, and provide the information requested.

- X 1. We waive informal review. \_\_\_ Please send copy of completed job
- \_\_\_ 2. We wish to review appraisal report. \_\_\_ Please send copy of completed job.
- \_\_\_ 3. We wish to participate directly in appraising the entire job or the following schedule items:
- \_\_\_\_\_. SHU point of contact for appraisal is:
- \_\_\_\_\_. Phone No. \_\_\_\_\_.

SHU comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Date Sent: 8/15/00 SHU Signature [Signature]

NWML Contact: Dick Wire	Room No.: 2100, A2
	Phone No.: 301-713-7110 x260

**From:** Richard WIRE  
**To:** "rbraemer@dodig osd mil"@NARA INTERNET  
**Date:** Fri, Jul 28, 2000 3 19 PM  
**Subject:** [N1-509-00-7 to be]Clean Copy of Disposition for the Audit (700) Series

Ray,

I have received your clean copy of the pages attached to the SF 115 (what we sometimes call the SF 115A) and am requesting that the job be registered (as N1-509-00-7 by my accounting) To avoid confusion, I have added a footer ("7/28/2000 Replacement Page [#]") to the document that you transmitted An electronic copy of the footer version is attached

Normally NARA requires the current disposition authority for each item being revised But in this instance I think we can dispense with those citations on the replacement pages for two reasons (1) The proposed revisions are so extensive and (2) I can attach to the job an annotated copy of chapter 7 from the June 2000 edition of IGDM 5015 2

Have a good time in Philadelphia

Dick

>>> "Braemer, Raymond W" <rbraemer@dodig osd mil> 07/28 12 29 PM >>>  
Dick,

Reference your comment about "751a Recordkeeping copy " (Breaking down the Electronic data and related records ) The Audit people feel that the "Electronic data and related records" should be kept together and would like to keep them Permanent (See 751a(1) & (2) on the clean copy attached )

Reference item #6 (FN 730/735) of your July 19, 2000 3 36 pm E-Mail Audit gave me the following statement

"I don't know where the previous language came from, but "arbitration's" do not exist In the early 80's, Audit Follow Up (AFU) kept separate mediation files, but that practice was discontinued in the mid 80's All our files now are followup files, and they include the mediation record for those DoD, IG, reports in which there was a mediation These documents regard management decisions rather than legal or quasi-legal rulings Therefore, since policies, programs, and directions change, their administrative value diminishes over time No followup files merit permanent retention Twenty years was selected as a safe outside boundary for how long we could conceivably want to retain a file "

As far as samples of files (Item #9 of your e-mail) I am waiting for those, but wanted to get this clean copy to you so you can register this job Attached is the clean copy Thanks again for your assistance

<<Disp700b doc>>

Ray Braemer  
Chief, Records, Publications  
and Distribution Branch

**From:** Richard WIRE  
**To:** Rbraemer@dodig.osd.mil  
**Date:** Fri, Jul 21, 2000 1:34 PM  
**Subject:** DOD-IG Records Manual Minor Problems FM 701

Ray,

I cc'd you on what I sent the various NARA units on the distribution of this manual.

Attached is my memo for the record discussing this matter and the minor problems I mentioned in this morning's brief telephone conversation with you. Two of the three problems we were already aware of, and you have prepared and submitted SF 115s to resolve them. The other is a minor update in a definition. I will let you know if any NARA units identify other problems that need to be resolved.

Thanks for making my job easier by turning out such an excellent manual.

Dick



# *National Archives and Records Administration*

8601 Adelphi Road  
College Park, Maryland 20740-6001

July 21, 2000

Memo for the Record

Distribution of DOD-IG Records Management Program Manual (IGDM 5015.2), dated June 2000

This records manual reflects SF 115s approved through April 2000. Ray Braemer, the DOD-IG records manager, has sent me paper copies of this manual for NARA's use, but he informs me that no paper distribution is being made within DOD-IG. Instead the manual is available on that agency's intranet. At my request he has provided Microsoft Word documents containing Appendix D (titled "RecApp D"), Subject Index, and Appendices E-N (titled "RmRD0100" through "RmRD1000"). I will attach copies of these documents to the email transmitting an electronic version of this memo to the relevant NARA units. As indicated below, a paper copy of this memo will also accompany the distributed paper version of the DOD-IG records manual.

I have spot-checked the comprehensive records schedule (Appendices E-N) and other material appearing in this updated manual and have found no major problems. The following are my comments on some minor matters:

1. The definition of vital records (App. B-5) needs to be updated to reflect what appears in 36 CFR 1236.14. A cross-reference to "Legal and Financial Rights Records" could also be added.
2. Disposition Job No. N1-509-00-6, approved on June 22, 2000, after the cutoff for the publication of this manual, provides valid disposal authority for correspondence files appearing under FNs 100a, 300a, 700a, 800a, and 900a. The published manual lists the correct disposition instructions for the items under these FNs but gives "Disposition Pending (N1-509-00-6)" as the disposition authority because that job had not yet been approved when the manual was published.
3. The disposition instructions under FN 701 are invalid because GRS 23 does not apply. Ray Braemer and I have discussed this matter, and an SF 115 is about to be registered that will correct this oversight.

When I distribute copies of the DOD-IG records manual to the applicable NARA units (NWMW, NWMD, NWME, NWCTM, and NR), I will include a copy of this memo, with a request that these units notify me of any other problems they may identify in the manual. I will also send a copy of this memo to Mr. Braemer at DOD-IG and will notify him of any additional problems that are brought to my attention.

Richard A. Wire  
Appraisal Archivist  
Life Cycle Management Division

**From:** Richard WIRE  
**To:** Thomas Brown  
**Date:** Wed, Jul 19, 2000 4 15 PM  
**Subject:** [DOD-IG & DLA/DMDC]Survey Data

Tom,

I believe that the DOD-IG survey (#2 in your email) should be covered by an SF 115 about to be registered I have cc'd you on the latest email to Ray Braemer, the DOD-IG, who plans to send me a clean copy of the attached pages before the job is formally registered

The DMDC survey on racism (# 3 in your email) is part of a pending Defense Logistics Agency job

Dick

>>> Thomas Brown 07/19 9 36 AM >>>

Marie - -

Attached is a message which I sent to you on March 31 It discussed three major survey data bases that received wide spread news coverage All three were unscheduled The three data bases are

(1) Regarding the file in the first paragraph, Mary Donovan determined that the survey of Federal employees the Performance America database It's in OPM's Employment Services Division, Personnel Resources and Development Center After initially thinking about scheduling it in January 2001, Mary said that should would try to get the Performance America series scheduled this year and, if a final survey is taken in after the election, transfer any future surveys as accretions in the scheduled item Do you know what progress has been made on scheduling this series of surveys?

(2) My second paragraph concern the DoD Inspector General survey of officers and enlisted men about gays and antigay harassment It was again discussed this morning in the press, this time in the New York Times' article about the IG report on antigay harassment in the 101st Airborne I am not aware that any progress has been made on scheduling this survey that can serve as a bench mark for studies of gays in the military

(3) The PS concerns the DMDC survey on racism I had mentioned that he had been following up on this But I haven't heard about whether DoD has made any progress on scheduling Can have Dick follow up on this?

Thanks in advance for you help

**CC:** Jerome Nashorn, Marie B Allen, Susan ELTER

**From:** Richard WIRE  
**To:** Rbraemer@dodig osd mil  
**Date:** Wed, Jul 19, 2000 3 35 PM  
**Subject:** DOD-IG 115 on 700s Survey of Attitudes Toward Gays in Military

Ray, [2nd transmittal attempt]

In a July 12 phone conversation with you, after I had sent the appended email message, you reported you would be on vacation for a week and thus unable to respond to my suggestions until the middle of this week

Today Tom Brown of NARA's Electronic and Special Media Records Services Division (NWME) again inquired about the survey of attitudes toward gays in the military. As we have discussed informally in the past, this survey (as widely reported in news stories in March of this year) is an example of what I understand would fall under 751, Permanent Audit Project Files, because it clearly meets the third selection criterion ("Receive widespread news media attention"). Although we can refine this schedule item and its subitems later after the SF 115 is registered, normally survey information is also generated in electronic form. However, 751a covers only the paper recordkeeping copy. In the case of this survey, there were undoubtedly electronic records other than the electronic mail and word processing copies covered by 751b. Even if DOD-IG has another DOD agency, such as DLA/DMDC, generate such data, it appears to me that DOD-IG would own the data. Therefore I suggest refining the wording of 751a to read as follows:

"a Recordkeeping copy

(1) Paper PERMANENT. Cut off when final report is issued. Transfer, with related indexes, to National Archives in 5-year blocks when most recent record is 2 years old.

(2) Electronic data and related records

(a) Master file of electronic data PERMANENT. Transfer to National Archives, with technical documentation, 2 years after the final report is issued.

(b) Source documents/data. Destroy/delete after \_\_\_\_\_

(c) Output documents/data EXCLUDING those covered by 751a(1) and 751a(2)(a). Destroy/delete after \_\_\_\_\_ "

Once you have sent me a clean copy of the pages to be attached to the SF 115, I will have the SF 115 registered, and then Tom Brown and those in other NARA units will have an opportunity to examine the schedule and suggest any necessary changes.

Please call or email me if you have any questions.

Thanks

Dick

**From:** Richard WIRE  
**To:** [Rbraemer@dodig osd mil](mailto:Rbraemer@dodig osd mil)  
**Date:** Wed, Jul 12, 2000 3 16 PM  
**Subject:** DOD-IG 115 on 700s (Auditing Files) Correctly numbered

Ray,

Before registering this SF 115 as a job, I have some suggested changes that you may wish to make and then provide me with a clean copy. Otherwise I can make hand-written changes. Furthermore, I have raised some issues that need to be addressed during the processing of this SF 115 once it is registered.

1. Since the three items under 700 have been approved in N1-509-00-6, this entire section should be marked out (or left out of a clean copy).

2. In all instances of "RESCINDED" items, the wording "Disposition pending" needs to be marked out (or left out of a clean copy). These will remain in the job but will not be counted as items for disposition approval purposes.

3. As to the note under 705-10, please consider some refinements, such as the following: "If inquiries and responses were of a routine nature, they were incorporated into File No. 363-10a, 700a, or 750a. If they were of a substantive nature having historical value, they were incorporated into File No. 363-20a or 751a."

4. As to the items falling under 710 and 715, there are some loose ends. Except for the revised transfer dates and the expanded description of 710, there appear to be no changes. However, after checking with Sue Elter and after considering the early nature of the original appraisal, I have decided to keep these items in the job.

a. In the expanded general description under 710, I suggest adding "such as the internal audit manual," so that it concludes "and procedures, such as the internal audit manual, and documentation supporting the establishment or revision to the policy documents." However, from our 6/7/2000 meeting it was my understanding that the recordkeeping copy of the 710 material consisted solely of the internal audit manual. If that is so, then the description could be shortened considerably, and the total volume would be minimal, especially given what I suggest next.

b. Since the wording "documentation supporting" has been added to the general description under 710, I suggest that you refine the description of 710a so that it reads "a. Recordkeeping copy (paper) excluding the supporting documentation. PERMANENT" and that you add "supporting documentation" to the description under 710b so that it reads "Other copies, supporting documentation, work papers, and background material (paper). DESTROY."

c. I suggest deleting "no less than" before "5-year blocks" in the transfer language for 710a so that it reads "Transfer to National Archives in 5-year blocks when most recent record is 5 years old." This is sufficient language for the records schedule, and any exceptions can be dealt with at the time of the transfer. (Note: When other NARA units review the schedule, they will comment on your proposal of "5 years old" rather than the current "30 years old" in regard to 710a as well as 715a. They will also comment on the transfer dates proposed for 721a and 751a.)

5. If you keep the current list of selection criteria under 721, please add the word "or" before the 6th criterion so that the description reads as follows: "annual report to Congress, or (6) are selected." Basically, however, I would suggest omitting the 6th criterion from the description of 721 as well as from that of 751 and putting the "or" before the 5th criterion in both instances. The procedures mentioned in the 6th criterion should already be documented in procedural manuals.

6. As to 735, please indicate what has happened to "arbitrations which establish a precedent" that are currently permanent under 730b(1) and 735b(1). Is it possible to establish 736 to cover those records as permanent? Or is it possible to include a cross-reference instruction under the general description of 735 to incorporate such records into FN 751a or another FN? Or are the arbitrations always so routine that they are never precedent-setting?

7 As to 750 and 751, please add at the end of the general descriptions this wording "Also included are related indexes "

8 As to the transfer dates for 721a and 751a, I suggest the following wording for "blocking" the records "Cut off when final report is issued Transfer to National Archives in 5-year blocks when most recent record is \_\_\_ years old [\*\*\* "3 years old for 721a" and "2 years old" for 751a \*\*\*] "

9 On a separate sheet, please provide me with the file arrangement, total volume (with date span), and annual accumulation for each of the following series 710a, 715a, 721a, and 751a Also please provide me with sample copies of records in these series While you gather this information and the sample copies, I can proceed with registering the SF 115 as a job once I hear from you

Please email or call me if you have any questions

Thank you

Dick

CC: Susan ELTER, Thomas Brown

**From:** Richard WIRE  
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